Report to the Acting Administrator – FY2013 3rd Qtr. Update

No.	Recommendation	Impact[1]	Effort[2]	Implementation Estimate (in Months) Timeframe	Benefit: Accountability	Benefit: Competency	Benefit: Consistency	Benefit: Proactive Disclosure	Benefit: Productivity	Benefit: Transparency	Type of Action: Regulation or Procedure	Type of Action: Assessment	Type of Action: Acquire or Develop	Type of Action: Training	OEI is lead the organization for all recommendations except where noted. STATUS (as of 6/30/13)
1	Revise EPA's FOIA regulations to 1) fully comply with the Open Government Act and DOJ regulations/guidance, 2) reflect changes in EPA's business processes, and 3) update FOIA fee information.	High	High	<12	●				●		●				**In process**. Workgroup formed. Rule tiered by OMB as Tier 3. Target date for publication of proposed rule: 12/31/13.
2	Finalize national standard operating procedures (SOPs) to set minimum processing standards. Make SOPs available to Agency employees and communicate their availability.	High	Low	<12		●	●	●	●		●				**Interim procedures developed.** Undergoing peer review. Target date for issuance of interim procedures: 9/30/13. Final Procedures: 3/31/14.

[1] Impact = Extent to which recommendation will positively influence the FOIA program
[2] Effort = Complexity, cost, time, and/or FTE commitment

(Available resources may impact ability to meet target deliverables.)

No.	Recommendation	Impact[1]	Effort[2]	Implementation Estimate (in Months) Timeframe	Benefit: Accountability	Benefit: Competency	Benefit: Consistency	Benefit: Proactive Disclosure	Benefit: Productivity	Benefit: Transparency	Type of Action: Regulation or Procedure	Type of Action: Assessment	Type of Action: Acquire or Develop	Type of Action: Training	OEI is lead the organization for all recommendations except where noted. STATUS (as of 6/30/13)
3a	Develop guidance on applying the presumption of openness and identifying and articulating “foreseeable harm” when making decisions to release and withhold documents under FOIA’s discretionary exemptions.	Low	Low	<12		●	●	●		●	●				**In process**. Will be addressed in final FOIA policy and final procedures. Target dates for issuance: FOIA Policy (final): 3/31/14. FOIA Procedures: 3/31/14.
3b	Require two levels of review of all documents that are released or withheld under a discretionary FOIA exemption.	Low	Med	<12	●	●	●	●		●	●				**Being required in FOIAonline and** will be addressed in final FOIA policy and procedures when issued. FOIA Policy (final): 3/31/14. FOIA Procedures: 3/31/14.
4	Modify Agency Delegation 1-30 to 1) reflect that all fee decisions are now made by the Headquarters FOIA office and 2) require programs and regions to issue formal re-delegation documentation to identify who (by title or position) has the authority to make initial FOIA decisions to release records within their organization.	Medium	Low	<24	●		●				●				**In process**. Delegation prepared and reviewed by OGC. Preparing for Agency-wide clearance process. Target date for issuance: 8/30/2013.
5	Finalize and implement the policy on FOIA litigation payments for attorney fees and other costs, balancing accountability with fairness and administrative simplicity.	Medium	Low	<12	●		●				●				**In process**. **OCFO lead.** Draft policy under development. Target date for issuance: TBD

No.	Recommendation	Impact[1]	Effort[2]	Timeframe Implementation Estimate (in Months)	Benefit Accountability	Competency	Consistency	Proactive Disclosure	Productivity	Transparency	Type of Action Regulation or Procedure	Assessment	Acquire or Develop	Training	STATUS (as of 6/30/13) **OEI is lead the organization for all recommendations except where noted.**
6	Require EPA programs and regions to assess fully centralizing FOIA administration activities within their organization (if the function is not already centralized).	High	High	<24	●	●	●		●			●			**In process**. FOIA duties & roles and responsibilities will be addressed in FOIA policy and procedures. FOIA Policy (final): 3/31/14. FOIA Procedures: 3/31/14. **To be started.** Program/ Regional assessments will begin after issuance of FOIA Policy and procedures.
7	Revise EPA's regulations to conform with case law regarding diverse treatment of voluntary submissions of claimed CBI and promote greater efficiency in handling CBI claims.	High	High	<24					●		●				**In process**. **OGC lead.** Informal workgroup created.
8	Create a new CBI organizational unit or assign CBI oversight responsibility to an existing organizational unit. The organization would be responsible for establishing Agency-wide CBI policy and security standards for handling and processing CBI claims.	High	High	<24	●	●	●		●			●			**Decision pending.** Recommendation needs to be evaluated to determine resource requirements, impacts on current CBI organizations and integration with CUI requirements
9	Develop Agency procedures to facilitate and expand use of class determinations for more efficient CBI claims processing.	Medium	Medium	>24		●	●		●		●				**Decision pending.** Pending decision for #8.

No.	Recommendation	Impact[1]	Effort[2]	Implementation Estimate (in Months) Timeframe	Benefit: Accountability	Competency	Consistency	Proactive Disclosure	Productivity	Transparency	Type of Action: Regulation or Procedure	Assessment	Acquire or Develop	Training	OEI is lead the organization for all recommendations except where noted. STATUS (as of 6/30/13)
10	Develop CBI tools to assist Agency staff in efficiently and consistently processing CBI claims and to assist submitters in asserting and substantiating valid claims of confidentiality.	Medium	High	>24		●	●		●	●			●		**Decision pending.** Pending decision for #8.
11	Establish a central repository for CBI confidentiality determinations and “clearly not entitled” determinations.	Medium	Medium	>24			●		●				●		**Decision pending.** Pending decision for #8.
12	Invest in technology to achieve more efficient FOIA and CBI processing.	High	Medium	<24		●			●				●		**Decision pending on CBI:** Pending decision on #8. **In process for FOIA:** FOIAonline deployed 10/1/12. eDiscovery tools deployed Q3, 2013 to assist as appropriate.
13	Establish a repository of records released under FOIA that can be searched by the public before they submit a FOIA request.	High	Medium	<12			●	●	●	●			●		**Completed.** FOIAonilne deployed 10/1/12.
14a	Use available technology to improve the Agency’s receipt of CBI by reusing a secure electronic portal enterprise infrastructure, such as the Central Data Exchange (CDX).	Medium	Medium	<24					●				●		**Completed.** Central EPA portal through CDX deployed.

No.	Recommendation	Impact[1]	Effort[2]	Timeframe: Implementation Estimate (in Months)	Benefit: Accountability	Benefit: Competency	Benefit: Consistency	Benefit: Proactive Disclosure	Benefit: Productivity	Benefit: Transparency	Type of Action: Regulation or Procedure	Type of Action: Assessment	Type of Action: Acquire or Develop	Type of Action: Training	STATUS (as of 6/30/13) — OEI is lead the organization for all recommendations except where noted.
14b	Purchase or develop tools that allow the electronic transfer of CBI internally and externally.	Medium	Medium	>24					●				●		**In Process.** Tool for external users to transfer data was completed through CDX portal. **To be started.** Pending decision for #8. Agency-wide tool for internal transfer of CBI data across EPA has not been initiated.
15a	Require Programs and Regions to review (or create) a process to identify and post information proactively. These reviews should include identifying whether they require more guidance, tools and/or knowledgeable staff.	Medium	Medium	<12			●	●	●	●		●			**In process.** Will be addressed in final FOIA policy. FOIA Policy (final): 3/31/14.
15b	The National FOIA Program should coordinate with the Agency's Web Council to ensure there is a unified and comprehensive review process to identify, review and proactively release information that may be of interest to the public. Once approved, widely disseminate the process throughout the Agency including e-mail notification, training and any other methods the Web Council deems appropriate.	Medium	Medium	<12			●	●	●	●		●			**Lead: OEAEE & OEI** OneEPA project leads to address recommendation. Not started.

No.	Recommendation	Impact[1]	Effort[2]	Timeframe: Implementation Estimate (in Months)	Benefit: Accountability	Benefit: Competency	Benefit: Consistency	Benefit: Proactive Disclosure	Benefit: Productivity	Benefit: Transparency	Type of Action: Regulation or Procedure	Type of Action: Assessment	Type of Action: Acquire or Develop	Type of Action: Training	STATUS (as of 6/30/13) — OEI is lead the organization for all recommendations except where noted.
15c	Require programs and regions to identify Agency staff with the delegated authority to approve the release of Agency information on the EPA website by name or position and distribute the information to all employees within their organizations. Establish appropriate accountability in performance standards.	Medium	Low	<12	●		●	●	●	●		●			**In process.** Recommendation depends on the issuance of FOIA policy and regulations and coordination with EPA's Web Council. FOIA Policy (final) – 3/31/14 Coordination with OEAEE-Pending
16a	Establish and develop FOIA training requirements that include tailored training for various levels of FOIA professionals.	High	High	<24		●	●		●					●	**In process.** In-person and webinar training on FOIA policy, procedures and FOIAonline is available for FOIA officers,coordinators, and interested SMEs. Online trainings under development. Target date: 12/31/2013.
16b	Establish mandatory annual Agency-wide FOIA training requirements for all employees, similar to the training required for ethics and security.	High	Medium	<24	●	●	●		●					●	**In process.** Mandatory general awareness training will be established by the final FOIA Policy. Target date: 9/30/14

No.	Recommendation	Impact[1]	Effort[2]	Implementation Estimate (in Months) Timeframe	Benefit: Accountability	Benefit: Competency	Benefit: Consistency	Benefit: Proactive Disclosure	Benefit: Productivity	Benefit: Transparency	Type of Action: Regulation or Procedure	Type of Action: Assessment	Type of Action: Acquire or Develop	Type of Action: Training	OEI is lead the organization for all recommendations except where noted. STATUS (as of 6/30/13)
16c	Develop a National FOIA continuing education requirement for FOIA Officers, FOIA Coordinators and FOIA contacts in programs and regions. Include flexibility to address Headquarters and Region-specific policies, procedures, and topics.	High	Medium	<12	●	●	●		●					●	**In process:** Annual in-person and webinar training on new case law, policies, procedures for FOIA professional and SMEs currently available. Target date to define specific continuing education requirements: 6/30/14
16d	Establish a mandatory annual training requirement for all FOIA Officers and FOIA Coordinators designed to focus on specific areas of need as identified by the National FOIA Office, such as the recent need to focus on adequate searches, proactive disclosures, consistency, deadlines and coordination among Regions and Headquarters.	High	Medium	<12	●	●	●		●					●	**In process.** Annual in-person training meetings currently available. FOIA Policy will establish mandatory training requirement. FOIA Policy (final) : 3/31/14

No.	Recommendation	Impact[1]	Effort[2]	Timeframe	Benefit						Type of Action				STATUS (as of 6/30/13)
				Implementation Estimate (in Months)	Accountability	Competency	Consistency	Proactive Disclosure	Productivity	Transparency	Regulation or Procedure	Assessment	Acquire or Develop	Training	**OEI is lead the organization for all recommendations except where noted.**
16e	Provide training via the national "one-stop shop" training portal currently under development. Ensure FOIA training is easy to access and available to employees from alternative work sites. Identify other resources such as seminars, workshops, etc., and make the list of resources available on the FOIA website.	Medium	Low	<24		●			●						**In process.** Agency annual training information posted to EPA's FOIA Website as well as available through FOIAonline. Development of one-stop training portal. Target date: 9/30/14.
17	In evaluating EPA's training needs and developing a training program, EPA should consider external training programs and resources that are already developed. Specifically, EPA should review training available from DOJ and OGIS, as well as those offered by private organizations.	Low	Medium	<12		●			●					●	**In process.** Completed communication of external training opportunities for FOIA Coordinators and Officers. Formal training program to be developed. Target date: 12/31/13.
18	The National FOIA Office should work with the Office of Human Resources (OHR) to develop FOIA critical job elements for all **Agency managers.**	High	Medium	<24	●	●	●						●		**In process.** Initial discussion held with OHR. Requires senior-level policy decision. If approved: Target date: 6/30/14

				Implementation Estimate (in Months)	Accountability	Competency	Consistency	Proactive Disclosure	Productivity	Transparency	Regulation or Procedure	Assessment	Acquire or Develop	Training	**OEI is lead the organization for all recommendations except where noted.**
No.	**Recommendation**	**Impact[1]**	**Effort[2]**	**Timeframe**	**Benefit**						**Type of Action**				**STATUS (as of 6/30/13)**
19a	The National FOIA Officer should work with OHR to develop critical job elements for **FOIA Officers and FOIA Coordinators.**	High	Medium	<24	●	●	●						●		**In process.** Requires senior-level policy decision. Initial discussion held with OHR. If approved: Target date: 6/30/14
19b	The National FOIA Officer should be consulted by managers for input regarding the performance of employees with standards that have National FOIA Program implications.	High	Medium	<24	●	●	●						●		**In process.** Requires senior-level policy decision. If approved, will be initiated following development of #16a, #19a and #20a. Target date: CY 14 and implemented in CY 15
20a	The National FOIA Program should consult with OHR to identify a baseline set of knowledge, skills and abilities (KSAs) for FOIA Officers and FOIA Coordinators based on their required duties.	High	Medium	<24	●	●	●		●				●		**In process.** Requires senior-level policy decision. If approved, will be implemented following development of #16a, #19a and #20a. Target date: CY 14
20b	At the end of each FY, require Deputy Assistant Administrators (DAAs) and Deputy Regional Administrators (DRAs) to report the number of hours of FOIA-related training taken by their FOIA Officer and primary FOIA Coordinator (submit information to the EPA CIO).	Medium	Low	<24	●	●	●		●				●		**To be started.** Requires senior-level policy decision. If approved: Target date: CY 14 & implemented in CY 15

No.	Recommendation	Impact[1]	Effort[2]	Implementation Estimate (in Months) Timeframe	Benefit: Accountability	Benefit: Competency	Benefit: Consistency	Benefit: Proactive Disclosure	Benefit: Productivity	Benefit: Transparency	Type of Action: Regulation or Procedure	Type of Action: Assessment	Type of Action: Acquire or Develop	Type of Action: Training	OEI is lead the organization for all recommendations except where noted. STATUS (as of 6/30/13)
21a	Establish and provide reports of overdue and pending FOIA requests to DAAs and DRAs.	High	Low	<12	●							●			**In process.** Scorecards have been developed for DAAs and DRAs. Target date: 7/26/13
21b	DAAs and DRAs should review the list of overdue FOIA requests and commit resources to reduce the backlog each fiscal year.	High	Low	<12	●							●			**In process. See 21a.**
22	Require certifications when conducting searches for FOIA responsive records using a template developed by the National FOIA Program.	High	Low	<12	●		●		●		●				**To be started.** Will be addressed in FOIA procedures.

FOIAonline

Agency User Guide

Version 0.04

September 11, 2012

Table of Contents

Table of Contents i
List of Exhibits iii
Revision Log 1
1 Introduction 2
1.1 Terminology 3
2 Agency Users 4
2.1 Home Page 4
2.2 Login Bar 5
2.2.1 Sign In 5
2.2.2 Forgot Password 6
2.3 Dashboards 6
2.3.1 My Cases 6
2.3.2 Unassigned Cases 7
2.3.3 Assigned Cases 8
2.3.4 Icons (Backlogged, Clock Stopped, Correspondence), Filters, and Pagination 9
2.3.5 New Request 9
2.3.6 New Consultation 13
2.3.7 New Referral 16
2.4 Request Details 17
2.4.1 Statuses 18
2.4.2 Clock 19
2.4.3 Workflow 19
2.4.4 Requester Information 20
2.4.5 Submission Details 22
2.4.6 Case File 24
2.4.7 Admin Cost 27
2.4.8 Assigned Tasks 30
2.4.9 Comments 31
2.4.10 Review 31
2.5 Actions Menu 34
2.5.1 Make Assignment 34
2.5.2 Estimate Costs 38
2.5.3 Stop the Clock 40

2.5.4	Extend Due Date	42
2.5.5	Create Task	42
2.5.6	Upload Responsive Records	44
2.5.7	Create Correspondence	45
2.5.7	Create Comment	49
2.5.8	Create Consultation	49
2.5.9	Create Referral	51
2.5.10	Create Appeal	53
2.5.11	Interim Release	55
2.5.12	Transfer Request	58
2.5.13	Export Request	58
2.5.14	Begin Close out Process	59
2.5.15	Generate Invoice	62
2.6	Search	64
2.6.1	Search Criteria	64
2.6.2	Search Results	65
2.7	Reports	66
2.7.1	Report Criteria	66
2.7.2	Description of Agency Reports	66
2.8	My Account	71
2.8.1	Edit User Account	71
2.8.2	Change Password	71

List of Exhibits

Exhibit 2- 1 Home Page 4
Exhibit 2- 2 Login Bar 5
Exhibit 2- 3 Sign In Page 5
Exhibit 2- 4 Privacy and Use Notice 5
Exhibit 2- 5 Forgot Password Page 6
Exhibit 2- 6 My Cases Dashboard 6
Exhibit 2- 7 Unassigned Cases Dashboard 7
Exhibit 2- 8 Assigned Cases Dashboard 8
Exhibit 2- 9 Backlogged Icon 9
Exhibit 2- 10 Backlogged Icon in Request Details 9
Exhibit 2- 11 New Request Action 9
Exhibit 2- 12 Agency User Create Request- Requester Information 10
Exhibit 2- 13 Agency User Create Request- Agency and Fee Information 10
Exhibit 2- 14 Agency User Create Request- Description, Request a Fee Waiver, Request Expedited Processing and Attach Supporting Files sections 11
Exhibit 2- 15 Preview Request 12
Exhibit 2- 16 Request Confirmation Page 13
Exhibit 2- 17 New Consultation Action 13
Exhibit 2- 18 Input Consultation Page 1 14
Exhibit 2- 19 Input Consultation Page 2 14
Exhibit 2- 20 Non-Participating Consultation Confirmation 15
Exhibit 2- 21 Complete Non-Participating Consultation 15
Exhibit 2- 22 New Referral Action 16
Exhibit 2- 23 Create Referral from Non-Participating Agency Page 16
Exhibit 2- 24 Request Details 17
Exhibit 2- 25 Request Status 18
Exhibit 2- 26 Status Column 18
Exhibit 2- 27 Clock 19
Exhibit 2- 28 Clock Never Started 19
Exhibit 2- 29 Clock Stopped 19
Exhibit 2- 30 Request Details Workflow 19
Exhibit 2- 31 Requester Information 20
Exhibit 2- 32 Edit Requester Contact Information Icon 20

Exhibit 2- 33 Edit Requester Contact Information 21
Exhibit 2- 34 Submission Details Tab 22
Exhibit 2- 35 Request Handling 22
Exhibit 2- 36 Request Description 23
Exhibit 2- 37 Short Description 23
Exhibit 2- 38 Submission Details Attached Files 24
Exhibit 2- 39 Case File Tab 24
Exhibit 2- 40 Case File, Records 25
Exhibit 2- 41 Edit Responsive Records 25
Exhibit 2- 42 Case File - Consultations 26
Exhibit 2- 43 Correspondence Sub Tab 26
Exhibit 2- 44 Appeals Sub Tab 27
Exhibit 2- 45 Admin Cost Entries Table 27
Exhibit 2- 46 Admin Cost New Entry 28
Exhibit 2- 47 Admin Cost New Entry Date 28
Exhibit 2- 48 Admin Cost Charge Type 29
Exhibit 2- 49 Admin Cost - Non-System User 29
Exhibit 2- 50 Admin Cost Edit Entries 30
Exhibit 2- 51 Assigned Tasks 30
Exhibit 2- 52 Comments 31
Exhibit 2- 53 Review 31
Exhibit 2- 54 New Reviewer 32
Exhibit 2- 55 Select Individual Reviewer 32
Exhibit 2- 56 Adding a New Reviewer 32
Exhibit 2- 57 Assigned Reviewers Table 33
Exhibit 2- 58 Actions Menu 34
Exhibit 2- 59 Make Assignment 35
Exhibit 2- 60 Make Assignment, Select Organization 35
Exhibit 2- 61 Make Organization Assignment 35
Exhibit 2- 62 Make Assignment, Select Individual 36
Exhibit 2- 63 Make Individual Assignment 36
Exhibit 2- 64 Assign to Self Action 37
Exhibit 2- 65 Assignment Notifications 37
Exhibit 2- 66 Estimate Costs Page 38

Exhibit 2- 67 Estimate Costs Confirmation Message 38
Exhibit 2- 68 Estimate Costs Task Details Page 39
Exhibit 2- 69 Stop the Clock 40
Exhibit 2- 70 Stop the Clock Confirmation 40
Exhibit 2- 71 Start the Clock Action 40
Exhibit 2- 72 Start the Clock Page 41
Exhibit 2- 73 Start the Clock Confirmation 41
Exhibit 2- 74 Stop the Clock Log 41
Exhibit 2- 75 Extend Due Date 42
Exhibit 2- 76 Task Assignment Page 42
Exhibit 2- 77 Task Assignees 43
Exhibit 2- 78 Create Task 43
Exhibit 2- 79 Upload Responsive Records 44
Exhibit 2- 80 Select File(s) 44
Exhibit 2- 81 Add Record Without File Upload Button 45
Exhibit 2- 82 Add Without File Upload 45
Exhibit 2- 83 Removal Verification 45
Exhibit 2- 84 Create Correspondence Page 46
Exhibit 2- 85 Create Correspondence within the System 47
Exhibit 2- 86 Create Offline Correspondence 48
Exhibit 2- 87 Correspondence Sub Tab 48
Exhibit 2- 88 Create Comment 49
Exhibit 2- 89 Select Record(s) for Consultation Page 49
Exhibit 2- 90 Create Consultation Page 50
Exhibit 2- 91 Create Referral to Participating Agency Part 1 51
Exhibit 2- 92 Create Referral to Participating Agency Part 2 52
Exhibit 2- 93 Referral Confirmation 52
Exhibit 2- 94 Appeal Existing Request Page 53
Exhibit 2- 95 Preview Appeal Page 54
Exhibit 2- 96 Appeal Confirmation Page 54
Exhibit 2- 97 Interim Release Page 55
Exhibit 2- 98 Interim Release Notice Dashboard 56
Exhibit 2- 99 Close Out Interim Release Notice Task 56
Exhibit 2- 100 Interim Release Notice Email 57

Exhibit 2- 101 Password Verification 57
Exhibit 2- 102 Transfer Request to Participating Agency 58
Exhibit 2- 103 Export Request 58
Exhibit 2- 104 Final Disposition of Requests 59
Exhibit 2- 105 Task Details Page 60
Exhibit 2- 106 Close Out Case File Review Task Page 60
Exhibit 2- 107 Review Status 61
Exhibit 2- 108 Close Out Final Disposition Notice Task Page 61
Exhibit 2- 109 Generate Invoice Notification 62
Exhibit 2- 110 Open Invoice 62
Exhibit 2- 111 FOIA Invoice 63
Exhibit 2- 112 Search Bar 64
Exhibit 2- 113 Search Page 64
Exhibit 2- 114 Search Results 65
Exhibit 2- 115 Search Results Excel Export 65
Exhibit 2- 116 Reports Page 66
Exhibit 2- 117 Annual Report 66
Exhibit 2- 118 Year-End Annual Report 67
Exhibit 2- 119 Audit Log Report 67
Exhibit 2- 120 Backlog Report 68
Exhibit 2- 121 Workload Report 68
Exhibit 2- 122 Record Retention Report 69
Exhibit 2- 123 Custom Report Page 70
Exhibit 2- 124 Custom Report Results Page 70
Exhibit 2- 125 Edit User Account 71
Exhibit 2- 126 Change Password Action 71
Exhibit 2- 127 Change Password Page 72

Revision Log

Date	Version No.	Description	Author	Reviewer	Review Date
7/24/2012	0.01	Draft Delivery to Client	K. Cannava	J. Geiger	8/10/2012
8/22/2012	0.02	Updated Screen Captures	K. Cannava	J. Geiger	8/23/2012
8/27/2012	0.03	Separated Public Guide	B. Stephensen	P. Brandon	8/27/2012
9/11/2012	0.04	Updated some Screen Captures and revised the Agency user guide	N. Joshi	P. Brandon	9/14/2012

1 Introduction

Background

FOIAonline is intended to create efficiencies and consistency in the way Government agencies respond to FOIA requests. The system is a multi-tenant, online FOIA repository and secure agency processing system to be used by partner agencies across the federal government. This system will improve upon the functionality currently available to agency FOIA professionals, subject matter experts, and the public.

The public will benefit from submitting FOIA requests to fewer government websites, tracking the status of requests, and searching and reviewing public requests and agency responses. Participating agencies will benefit through storing FOIA requests and responses in a repository for reuse, and report generation.

System Roles

Various user roles will be included in the system to accommodate the various usage patterns expected across agencies. Users of the system include:

- National Team: These users are in charge of the initial evaluation of requests for centralized agencies, re-routing incorrectly sent requests, and assigning requests, consultations, and referrals. Privileges include: access to the Agency User Administration page, adjusting requests' billing sheets, flagging a record as "frequently requested," and reassigning requests. The National Team can view the workload of all agency and sub-agency users. The National Team role has access to the Agency Administration pages and can assign/re-assign requests, consultations, and referrals.
- Coordinator: These users have access to the Unassigned Cases and Assigned Cases dashboards for their organizational level and edit access to the sub-Agency Administration pages. The Coordinator has the following privileges: overwriting a request's complexity, flagging a request as perfected or unperfected (as long as a higher role has not already marked it as either), extend the retention schedule for a record, and toggle notifications.
- Public Liaison: These users have the Unassigned Cases and Assigned Cases dashboards for their organizational level and the ability to: run the workload report, view sub-agency requests, reassign requests, assess the complexity of a request, reassign requests, and adjust a request's billing sheet. When a Public Liaison user runs the audit trail report, they can view only their own requests and the edits made to them.
- Professional: These users have access to only the requests that are assigned to them via the My Cases dashboard.
- Subject Matter Expert (SME): These users have access to only the tasks that are assigned to them via the My Cases dashboard.
- Reviewer: These users have read only privileges to all case files within an Agency.

1.1 Terminology

The following is a list of terms used throughout this document:

Action: An action is a link that displays in the Actions Menu, allowing the user to quickly navigate to key functionality.

Actions Menu: The list of actions that displays when on the Request Details page.

Agency User: The officer or analyst in charge of handling and processing requests or appeals.

Centralized vs. De-centralized: Centralized v. de-centralized refers to an agency's routing configuration. A centralized agency receives all system submissions in one dashboard maintained at the National Team level. A de-centralized agency allows the requester to choose which sub-Agency to send the request to, as opposed to sending the request to the overall agency. Requests submitted to a sub-Agency display in the group dashboard maintained at the Coordinator level.

Confirmation Message: Text inside a green bar that displays on the top of the page when an action is performed successfully.

Consultation vs. Referral vs. Transfer: A consultation is the procedure whereby the agency responding to a FOIA request forwards a record to another agency for its review because that other agency has an interest in the document. Once the agency in receipt of the consultation finishes its review of the record, it responds back to the original agency. That agency, in turn, responds to the FOIA requester. A referral is when an agency locates a record that originated with, or is of otherwise primary interest to another agency, it will forward the record to be processed and provide the final determination directly to the requester. A transfer is when an agency deems that the request was submitted to the wrong Agency. The Agency user has 10 days to transfer the request to the correct Agency.

Dashboard: The dashboard is a central location for FOIA content. Registered Users and Agency Users have access to a dashboard(s).

Error Message: Text inside a red bar that displays on the top of the page when an action is performed unsuccessfully.

Export Request: When a request is submitted via the system that is not FOIA related, the Export Request Action can be performed to completely remove the data from FOIAonline.

General Public vs. Registered User: General Public and Registered Users are both non-agency system users. A General Public user can create requests via the system, search, and generate reports, but does not have access to appeal, system correspondence, and in-depth request tracking. A Registered User views a dashboard of all previously created requests and appeals, has access to streamlined request creation, send correspondence via the system, notifications, and in-depth request tracking.

Hover Text: Hover text displays when hovering over a "?" icon next to various fields throughout the system.

Tasks: Tasks are separate from, but are associated to, requests. Agency users who are assigned to process a request can create tasks to organizations or individuals to assist in request processing.

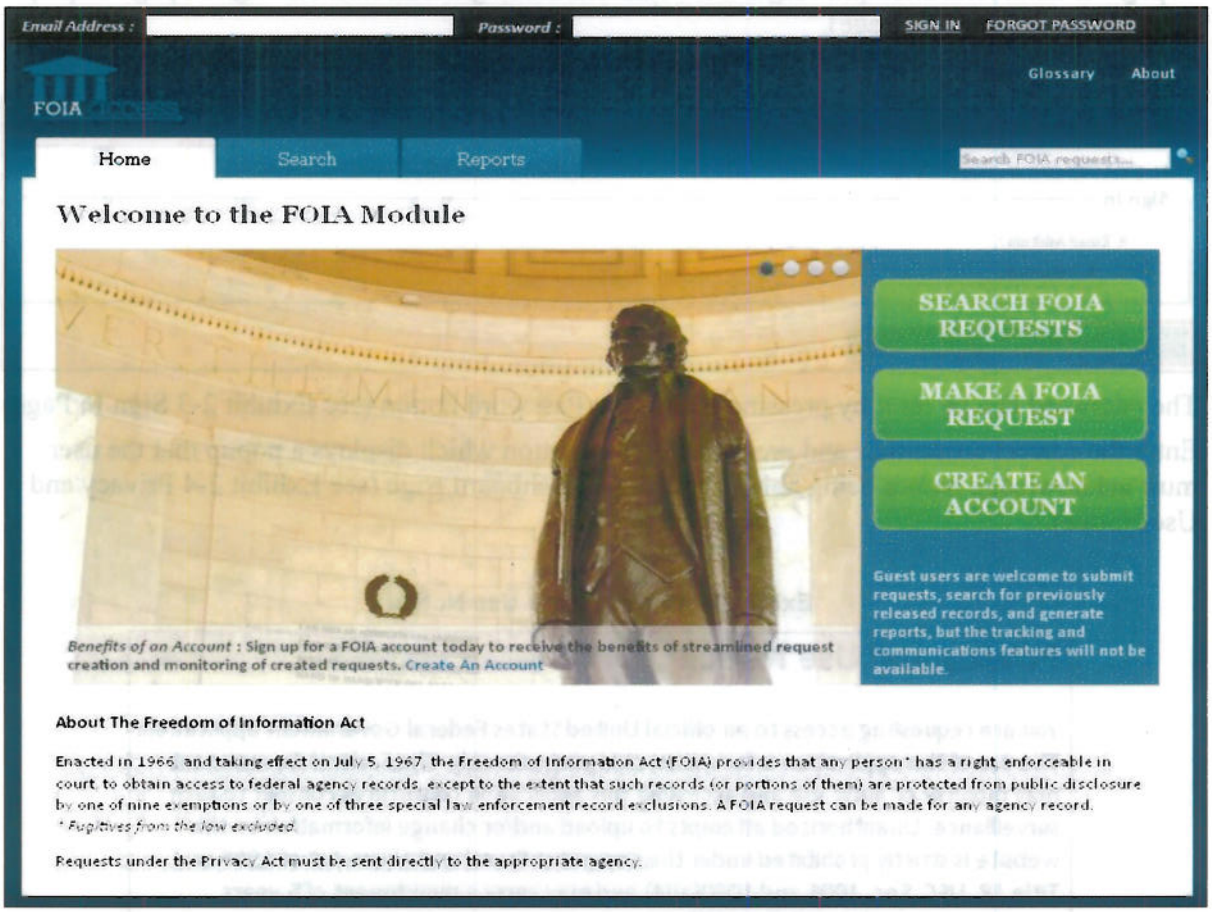
2 Agency Users

There are 6 different types of agency roles, listed in hierarchical order they are: National Team, Coordinator, Public Liaison, Professional, Subject Matter Expert (SME), and Reviewer.

2.1 Home Page

The Home page of FOIAonline is the landing screen for both public and agency users. This page allows users to quickly access important system functionality, including searching, reporting, account creation, and request creation. Exhibit 2-1 Home Page shows the layout of the landing page. The Home page is available via the internet, so it can be accessed over any network.

Exhibit 2- 1 Home Page



Key functionality includes the login bar at the top of the screen; two quick links in the top right corner for the glossary and more information about FOIAonline; three tabs to access the Home, Search, and Reports pages; a search field; four cycling pictures that elaborate on key system functionality; and three buttons to allow the user to search, make a FOIA request, and create an account.

The user can manually cycle through the pictures by clicking on the four radio buttons that display in the top right corner of the pictures. Clicking any of the radio buttons stops the automatic cycling.

2.2 Login Bar

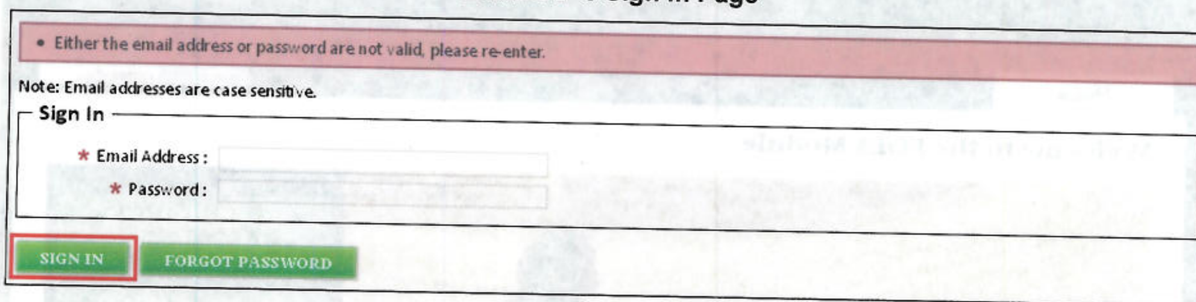
The login bar displays at the top of every page, allowing a user to sign in conveniently.

Exhibit 2- 2 Login Bar

2.2.1 Sign In

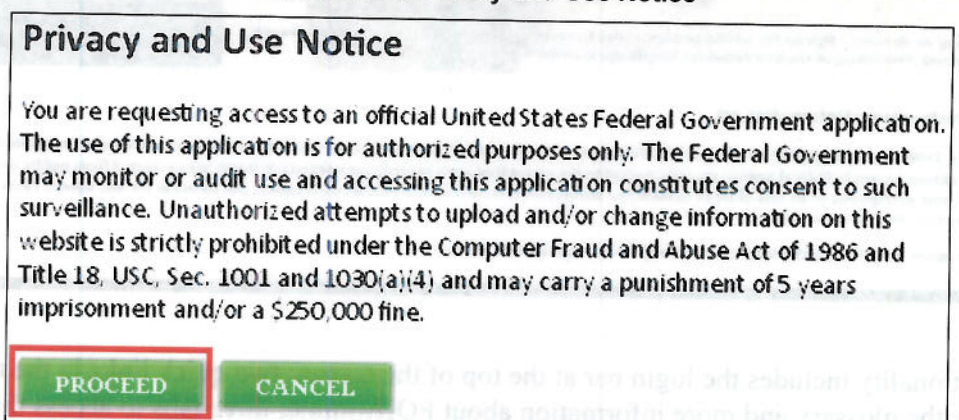
A user can sign in to the system by entering the correct criteria in either the login bar or the Sign In page. If an invalid attempt to sign in is made via the Login Bar, then the Sign In page displays (see Exhibit 2-3 Sign In Page).

Exhibit 2- 3 Sign In Page



The password can be reset by pressing the Forgot Password button (see Exhibit 2-3 Sign In Page) Enter the correct credentials and press the Sign In button which displays a popup that the user must acknowledge before being able to access the dashboard page (see Exhibit 2-4 Privacy and Use Notice).

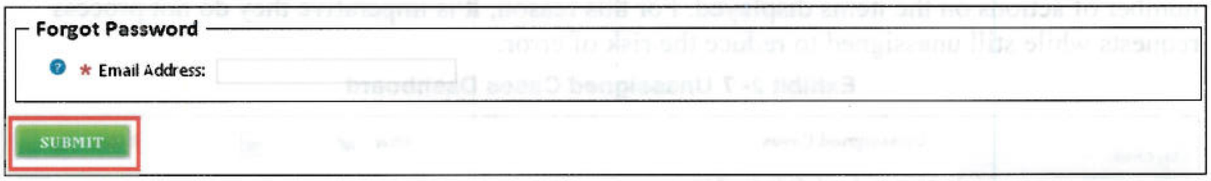
Exhibit 2- 4 Privacy and Use Notice



2.2.2 Forgot Password

If a user forgets his or her password, then the password can be reset via the Forgot Password page (see Exhibit 2-5 Forgot Password Page).

Exhibit 2- 5 Forgot Password Page



Enter the associated email address and press the Submit button to receive a temporary password via email. Enter the email address and the temporary password into either the Login Bar or the Sign In page and press the Sign In link/button.

The Change Password page displays upon signing in with the temporary password.

2.3 Dashboards

The dashboard is a central location for every request, appeal, task, consultation, and referral in the system. There are 3 different dashboards for agency users: My Cases, Unassigned Cases, and Assigned Cases. The different dashboards display conditionally upon the role of the user. Requests with expedited processing granted display at the top of the dashboard. Items in the dashboard can be filtered: see section 2.3.4 Icons (Backlogged, Clock Stopped, Correspondence), Filters, and Pagination.

2.3.1 My Cases

Every role has the My Cases dashboard, which displays all requests, appeals, tasks, consultations, and referrals that are specifically assigned to the individual currently logged in.

Exhibit 2- 6 My Cases Dashboard

My Cases — Filter: All — Results: 25

5 items found, displaying all items. [1]

Tracking Number	Type	Track	Requester	Submitted	Due	Status	Detail
EPA-2012-000520	Referral	Simple	Johnathan Broxton	08/07/2012	09/05/2012	Assignment Determination	
EPA-2012-000519	Request	TBD	Ron Carpenter	08/03/2012	TBD	Withdrawn	
EPA-2012-000513	Request	TBD	Gabby Franklin	08/01/2012	TBD	Assignment Determination	
EPA-2012-000504	Request	Simple	Michael Muffat	07/31/2012	08/28/2012	Estimate Costs	
Non-Participating	Consultation	TBD		07/30/2012	08/09/2012		

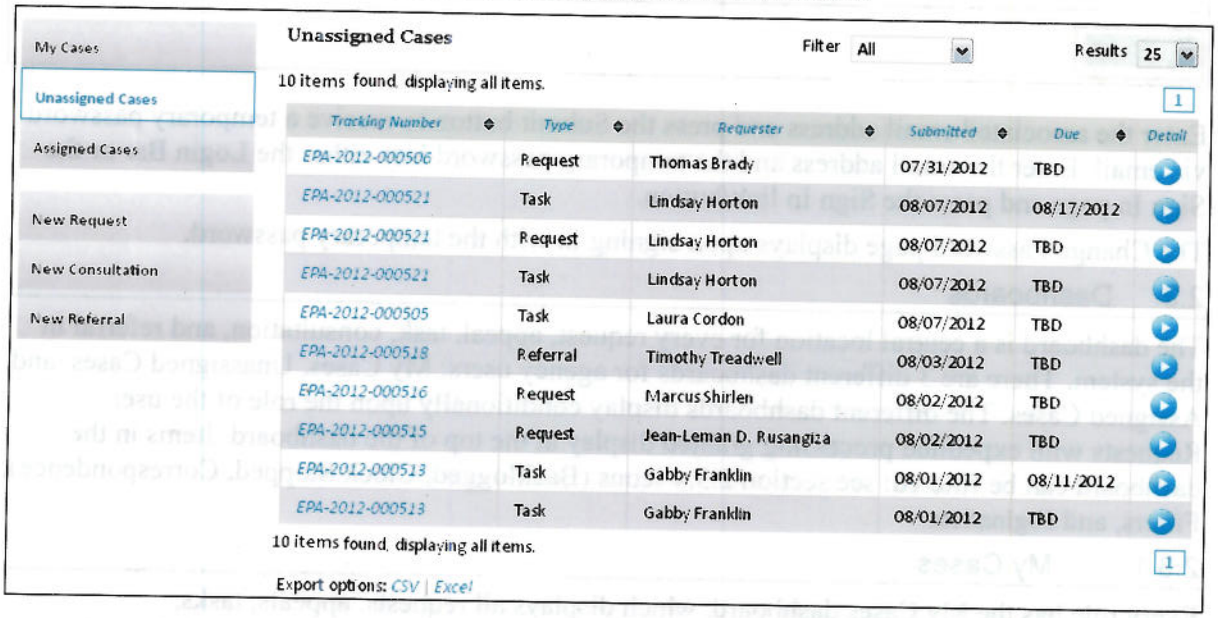
5 items found, displaying all items. [1]

Export options: CSV | Excel

2.3.2 Unassigned Cases

The Unassigned Cases dashboard is available to the National Team, Coordinator, and Public Liaison roles. It is the default dashboard for the above mentioned roles. This is a group dashboard at the organization level, so multiple individuals can view and perform a select number of actions on the items displayed. For this reason, it is imperative they do not process requests while still unassigned to reduce the risk of error.

Exhibit 2- 7 Unassigned Cases Dashboard



Tracking Number	Type	Requester	Submitted	Due	Detail
EPA-2012-000506	Request	Thomas Brady	07/31/2012	TBD	
EPA-2012-000521	Task	Lindsay Horton	08/07/2012	08/17/2012	
EPA-2012-000521	Request	Lindsay Horton	08/07/2012	TBD	
EPA-2012-000521	Task	Lindsay Horton	08/07/2012	TBD	
EPA-2012-000505	Task	Laura Cordon	08/07/2012	TBD	
EPA-2012-000518	Referral	Timothy Treadwell	08/03/2012	TBD	
EPA-2012-000516	Request	Marcus Shirlen	08/02/2012	TBD	
EPA-2012-000515	Request	Jean-Leman D. Rusangiza	08/02/2012	TBD	
EPA-2012-000513	Task	Gabby Franklin	08/01/2012	08/11/2012	
EPA-2012-000513	Task	Gabby Franklin	08/01/2012	TBD	

10 items found, displaying all items.

Export options: CSV | Excel

2.3.3 Assigned Cases

Once a request, appeal, referral, consultation, or task is assigned to either an organization or an individual, it displays in the Assigned Cases dashboard. Assignments only display when they are made below a user's organization level. This means that level 2 agency users will not be able to see assignments for other level 2 agencies. When a request is assigned by a level 2 sub-agency to a level 3 office/bureau at the organizational level, the request will display in Assigned dashboard for the level 2 agency and in the Unassigned dashboard for the level office/bureau.

Exhibit 2- 8 Assigned Cases Dashboard

Assigned Cases Filter All Results 25

13 items found, displaying all items. 1

Tracking Number	Type	Track	Submitted	Assigned To	Due	Status	Detail
EPA-2012-000520	Referral	Simple	08/07/2012	Thomas Marks	09/05/2012	Assignment Determination	
EPA-2012-000519	Request	TBD	08/03/2012	Thomas Marks	TBD	Withdrawn	
EPA-2012-000517	Appeal	Simple	08/02/2012	OIG	08/30/2012	Closed	
EPA-2012-000512	Task	Simple	08/02/2012	HQ	TBD	Evaluation of Records	
EPA-2012-000502	Task	Simple	08/01/2012	Emily Peters	08/08/2012	Research Records	
EPA-2012-000504	Task	Simple	08/01/2012	Judy Scott	TBD	Estimate Costs	
EPA-2012-000513	Request	TBD	08/01/2012	Thomas Marks	TBD	Assignment Determination	
EPA-2012-000512	Request	Simple	08/01/2012	Ashley Jackson	08/30/2012	Evaluation of Records	
EPA-2012-000504	Request	Simple	07/31/2012	Thomas Marks	08/28/2012	Estimate Costs	
EPA-2012-000501	Task	TBD	07/30/2012	OGD	TBD	Assignment Determination	
Non-Participating	Consultation	TBD	07/30/2012	Thomas Marks	08/09/2012		
EPA-2012-000502	Request	Simple	07/27/2012	Emily Peters	08/24/2012	Research Records	
EPA-2012-000501	Request	TBD	07/26/2012	OGD	TBD	Assignment Determination	

13 items found, displaying all items. 1

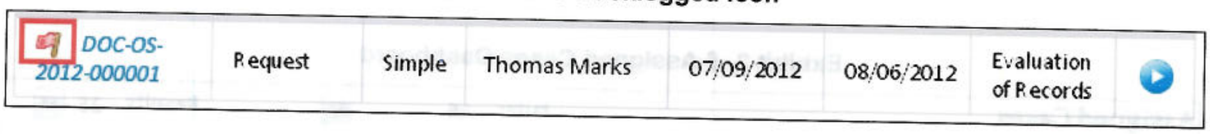
Export options: CSV | Excel

2.3.4 Icons (Backlogged, Clock Stopped, Correspondence), Filters, and Pagination

There are three types of icons that can display next to the tracking number on the dashboard: a red flag, a clock, and an envelope.

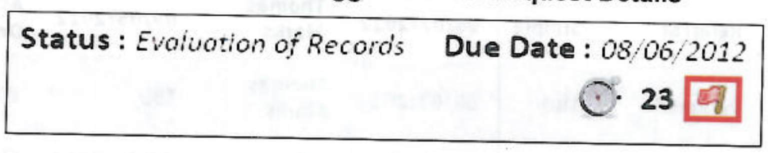
The red flag indicates that the item is backlogged, as shown in Exhibit 2-9 Backlogged Icon. The backlog flag displays after 20 days have elapsed, or 30 days if unusual circumstances have been identified on a request.

Exhibit 2- 9 Backlogged Icon



The red flag also displays on the Request Details page, next to the clock, as shown in Exhibit 2-10 Backlogged Icon in Request Details.

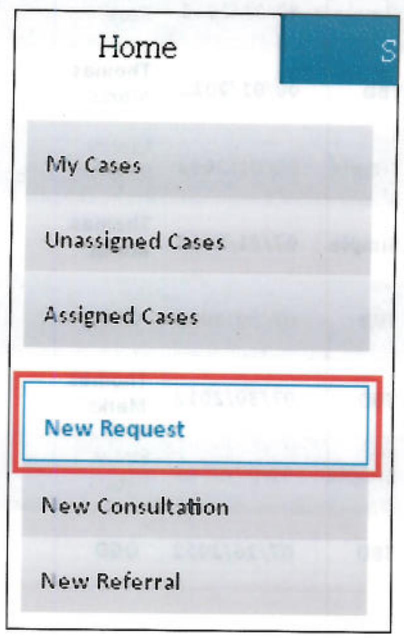
Exhibit 2- 10 Backlogged Icon in Request Details



2.3.5 New Request

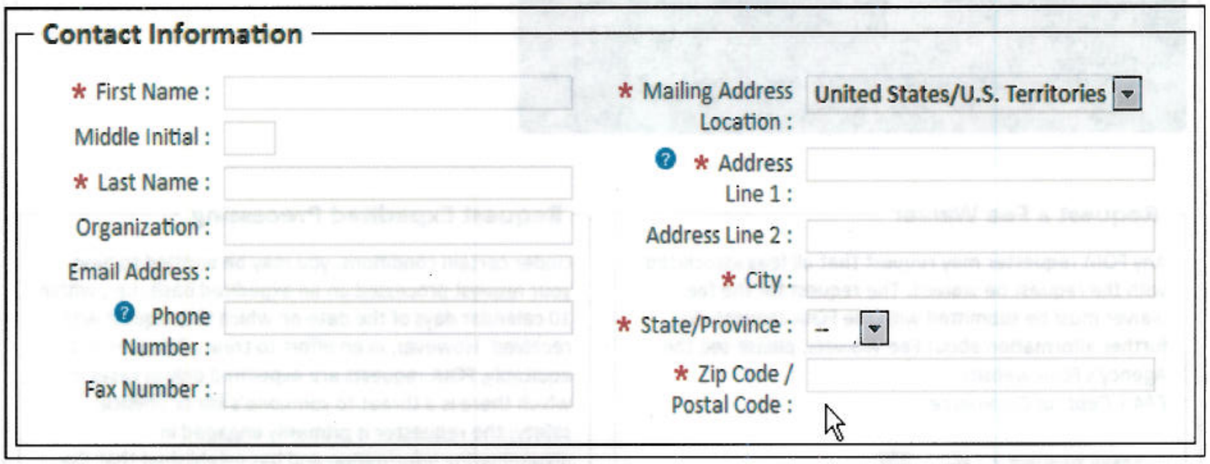
When a FOIA request is received by an agency offline, the request can be entered into the system by clicking the New Request action from the left side action menu while on any of the three dashboards:

Exhibit 2- 11 New Request Action



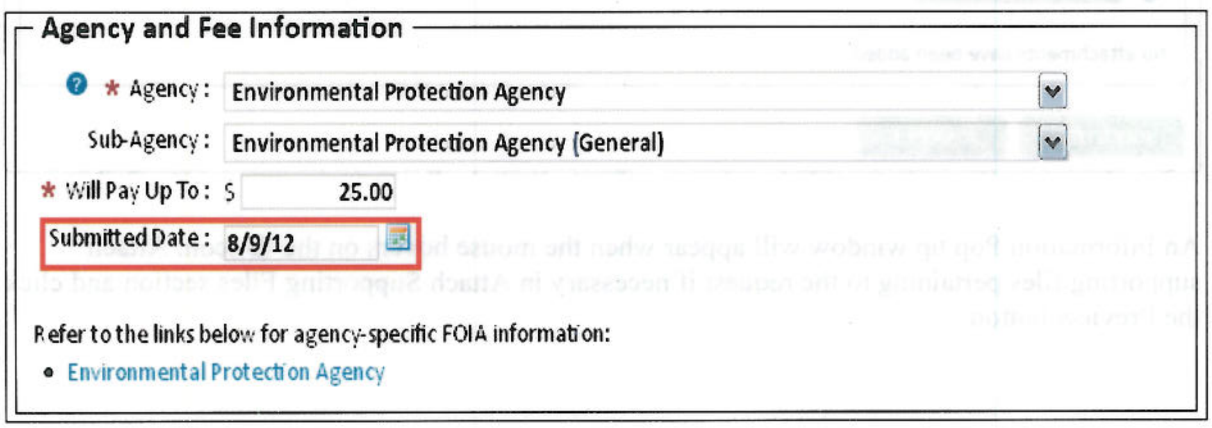
Begin creating FOIA request by entering Requester's information in the Contact Information section. All required fields with a red asterisk need to be filled at the minimum in order to successfully create the request.

Exhibit 2- 12 Agency User Create Request- Requester Information



Provide the Agency and Fee Information in the following section. Enter the amount that the requester is willing to pay for the information and select the appropriate submitted date. Submitted Date field allows the agency to backdate the request's clock start date, as indicated in Exhibit 2-13 Agency User Create Request- Agency and Fee Information.

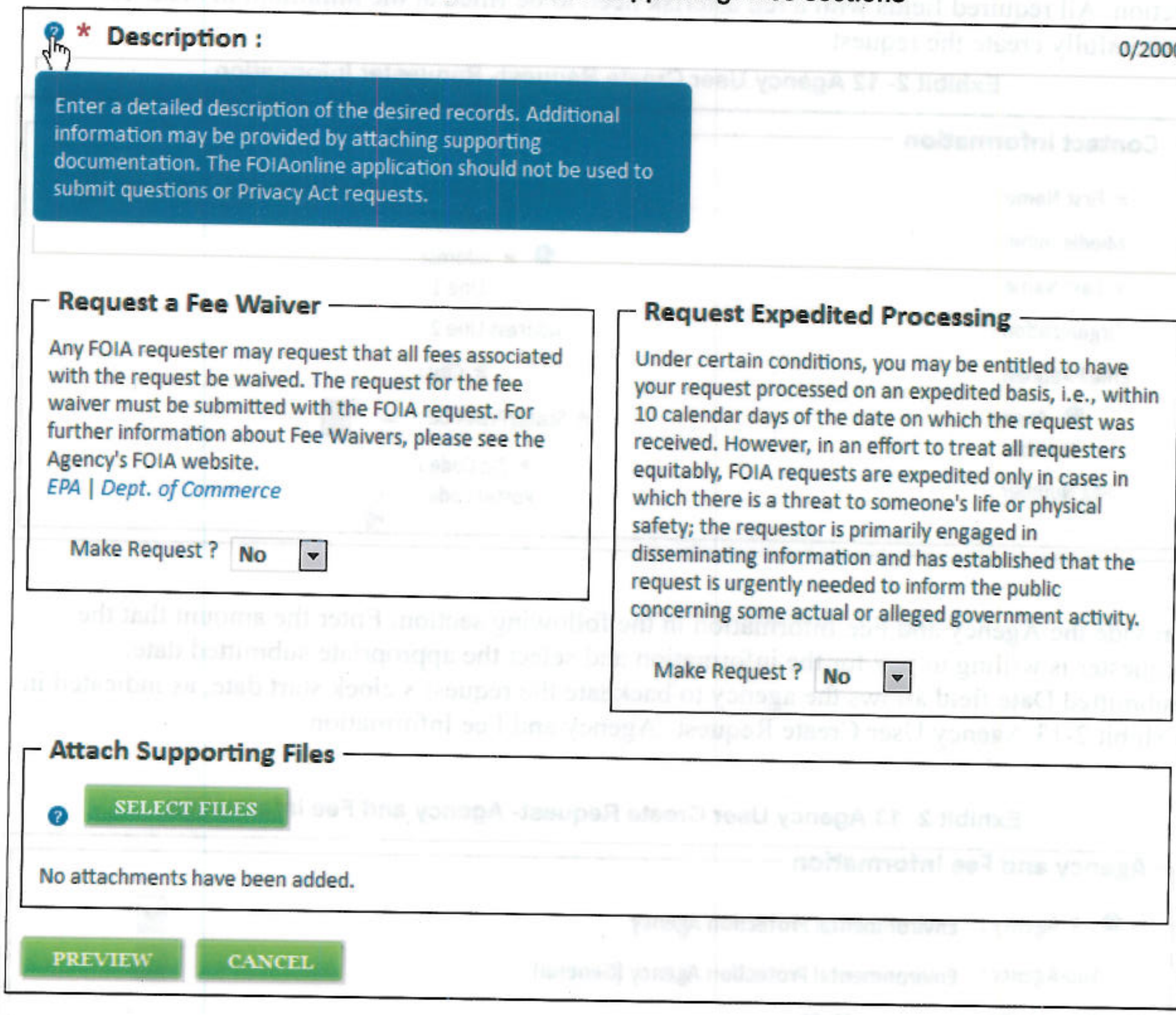
Exhibit 2- 13 Agency User Create Request- Agency and Fee Information



An agency user can only create a request for his or her own agency, but is allowed the option to select the correct Sub-Agency from the Sub-Agency dropdown menu, if the agency is de-centralized.

Type the detailed description of the desired records in the Description section. If Fee Waiver and/or Expedited Processing are requested in the corresponding sections, the explanation/reason for the request MUST be provided.

Exhibit 2- 14 Agency User Create Request- Description, Request a Fee Waiver, Request Expedited Processing and Attach Supporting Files sections

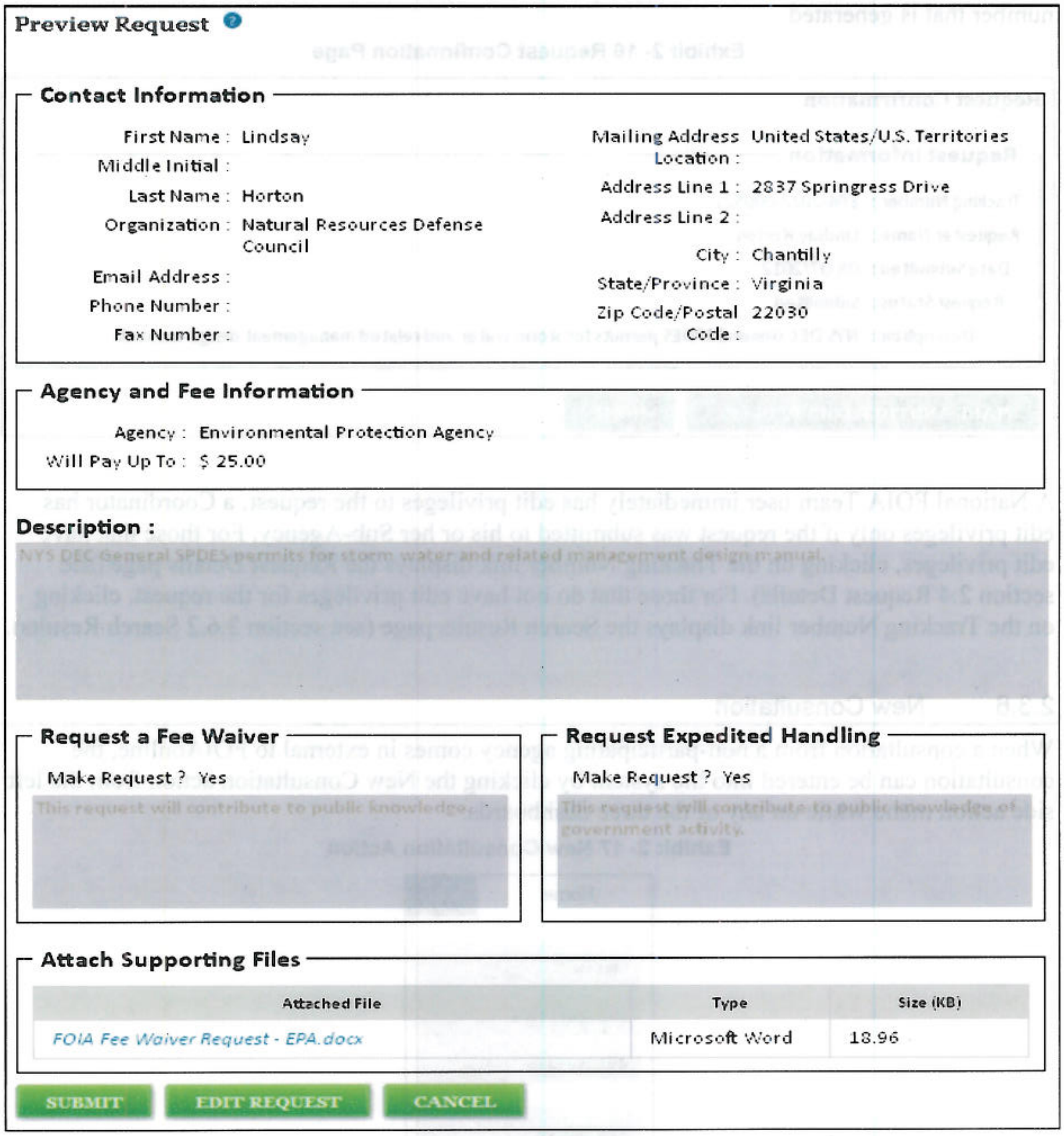


An Information Pop up window will appear when the mouse hovers on the ? icon. Attach supporting files pertaining to the request if necessary in Attach Supporting Files section and click the Preview button.

Preview Request

The Preview Request page offers the user one final chance to review the information entered before submittal (see Exhibit 2-15 Preview Request).

Exhibit 2- 15 Preview Request


Preview Request

Contact Information

First Name : Lindsay
Middle Initial :
Last Name : Horton
Organization : Natural Resources Defense Council
Email Address :
Phone Number :
Fax Number :

Mailing Address Location : United States/U.S. Territories
Address Line 1 : 2837 Springress Drive
Address Line 2 :
City : Chantilly
State/Province : Virginia
Zip Code/Postal Code : 22030

Agency and Fee Information

Agency : Environmental Protection Agency
Will Pay Up To : $ 25.00

Description :

NYS DEC General SPDES permits for storm water and related management design manual.

Request a Fee Waiver

Make Request ? Yes

This request will contribute to public knowledge.

Request Expedited Handling

Make Request ? Yes

This request will contribute to public knowledge of government activity.

Attach Supporting Files

Attached File	Type	Size (KB)
FOIA Fee Waiver Request - EPA.docx	Microsoft Word	18.96

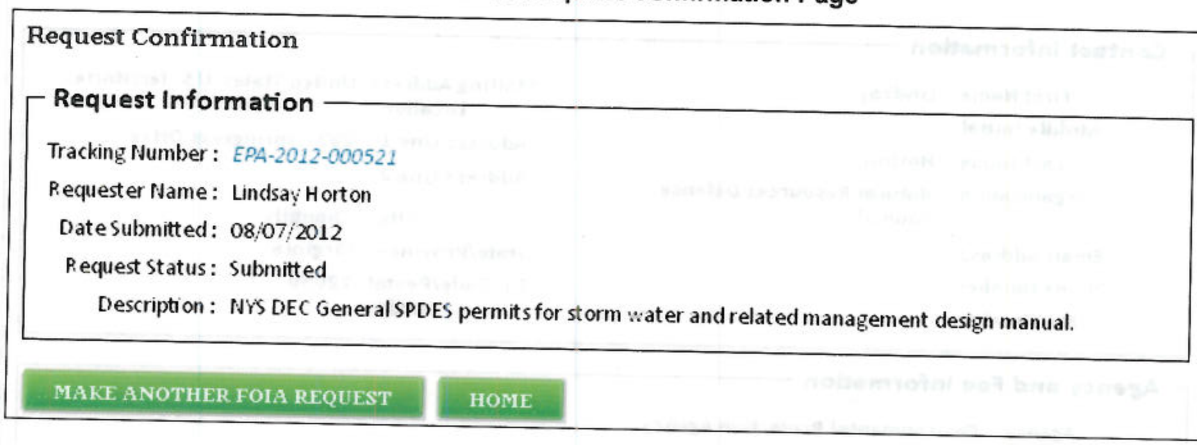
SUBMIT EDIT REQUEST CANCEL

Users have an option to edit the request by clicking the Edit Request button or submit the request without editing.

Confirmation

Pressing the Submit button on the Preview page displays the Confirmation page. The Confirmation page contains a summary of the created request, including the unique tracking number that is generated.

Exhibit 2- 16 Request Confirmation Page

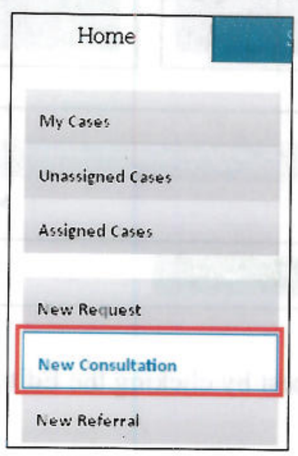


A National FOIA Team user immediately has edit privileges to the request; a Coordinator has edit privileges only if the request was submitted to his or her Sub-Agency. For those that have edit privileges, clicking on the Tracking Number link displays the Request Details page (see section 2.4 Request Details). For those that do not have edit privileges for the request, clicking on the Tracking Number link displays the Search Results page (see section 2.6.2 Search Results).

2.3.6 New Consultation

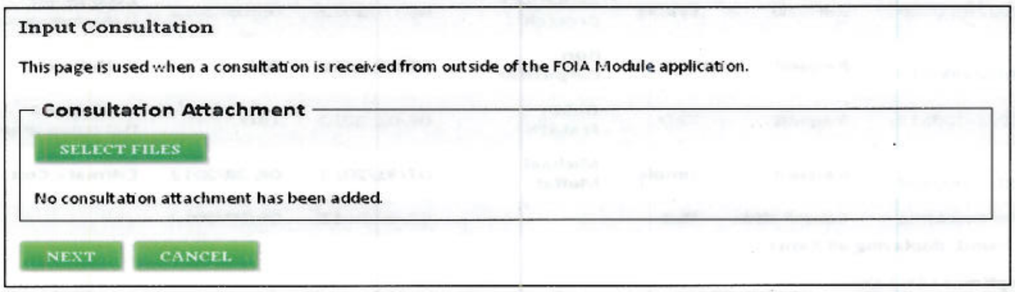
When a consultation from a non-participating agency comes in external to FOIAonline, the consultation can be entered into the system by clicking the New Consultation action from the left side action menu while on any of the three dashboards:

Exhibit 2- 17 New Consultation Action



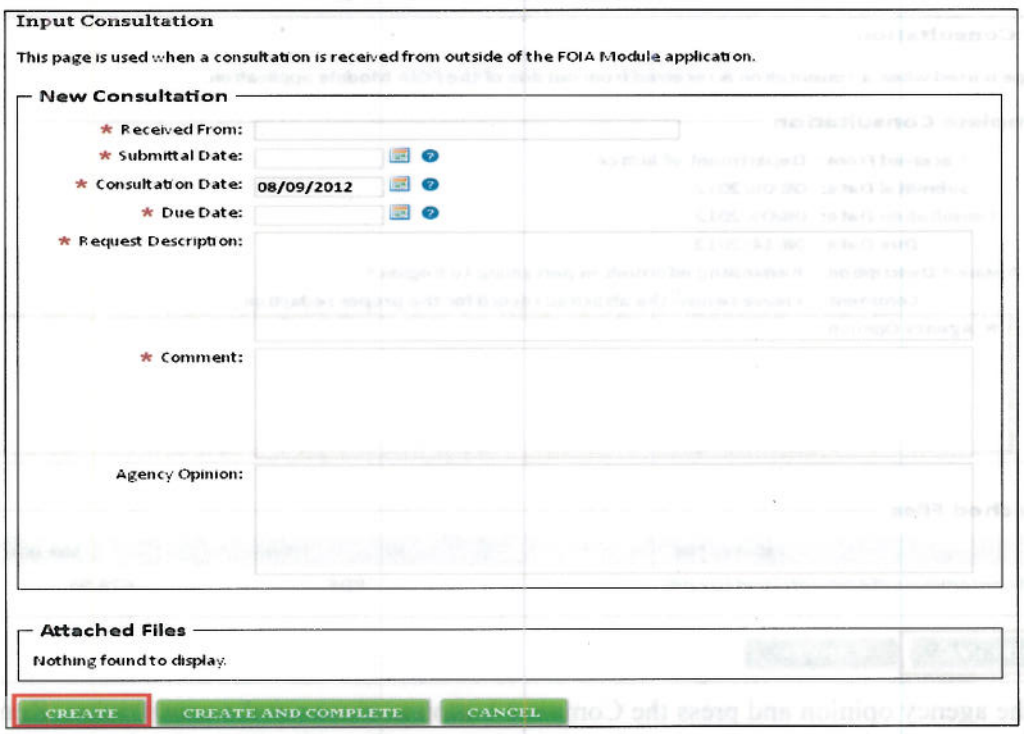
The Input Consultation process consists of two steps. The first step (see Exhibit 2-18 Input Consultation Page 1) allows the user to upload an attachment (e.g., a copy of the record being consulted on), but this is optional. Only one record can be attached; if the consultation is for multiple records, then multiple consultations need to be created. When the file is uploaded, or if no file needs to be uploaded, press the Next button to display the second part of the process (See Exhibit 2-19 Input Consultation Page 2).

Exhibit 2- 18 Input Consultation Page 1



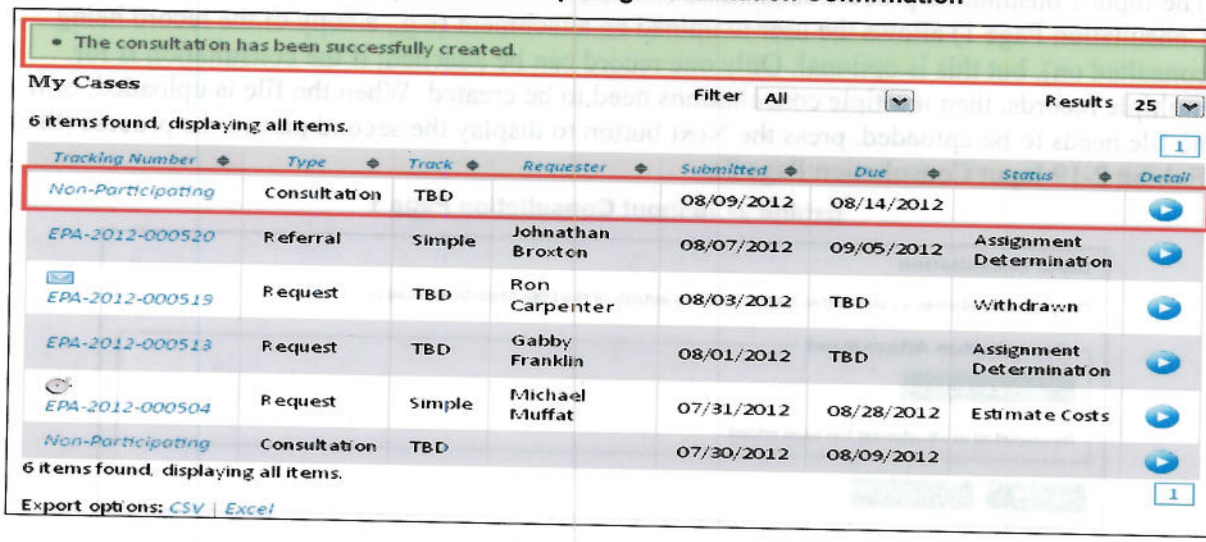
The consultation data is entered on this page. The consultation can be created and saved to process later, or it can be created and completed. If the consultation is created but is not yet ready to be completed, enter the applicable information and press the Create button.

Exhibit 2- 19 Input Consultation Page 2



The person creating the consultation automatically gets the assignment for it and the newly created consultation appears in his or her My Cases dashboard. Pressing the Create button displays the My Cases dashboard with a confirmation message at the top of the page as shown in Exhibit 2-20 Non-Participating Consultation Confirmation.

Exhibit 2- 20 Non-Participating Consultation Confirmation



- The consultation has been successfully created.

My Cases

Filter All Results 25

6 items found, displaying all items.

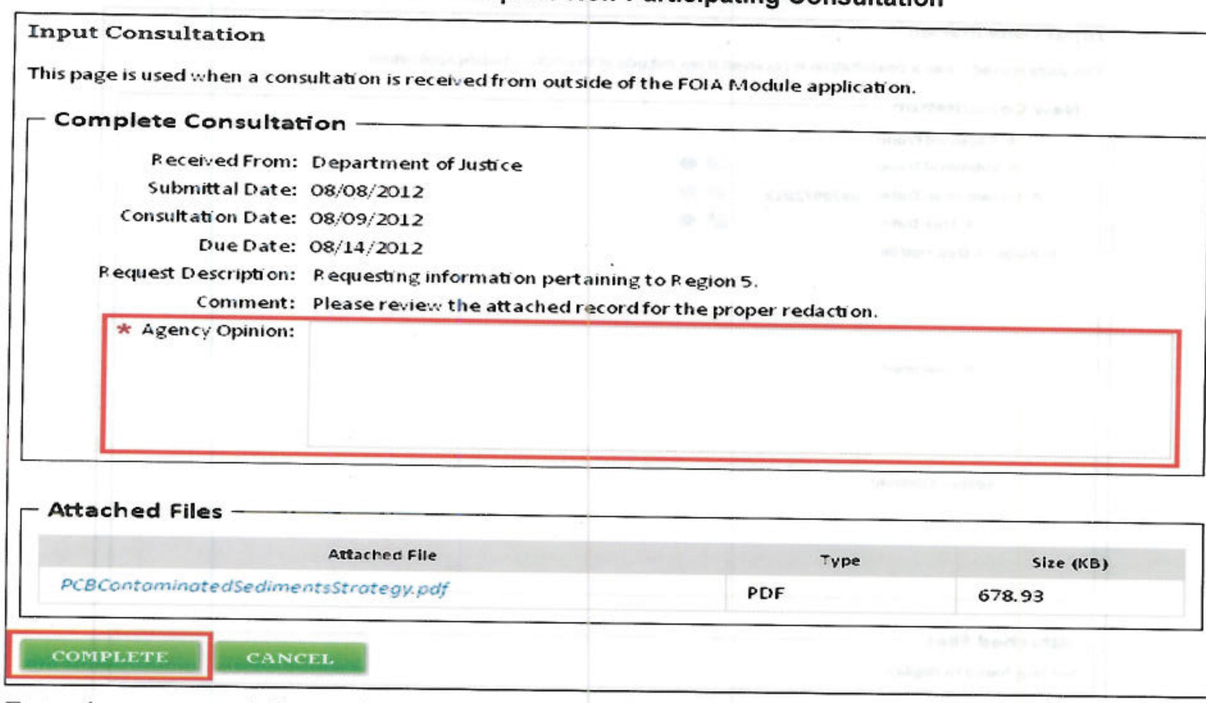
Tracking Number	Type	Track	Requester	Submitted	Due	Status	Detail
Non-Participating	Consultation	TBD		08/09/2012	08/14/2012		
EPA-2012-000520	Referral	Simple	Johnathan Broxton	08/07/2012	09/05/2012	Assignment Determination	
EPA-2012-000519	Request	TBD	Ron Carpenter	08/03/2012	TBD	Withdrawn	
EPA-2012-000513	Request	TBD	Gabby Franklin	08/01/2012	TBD	Assignment Determination	
EPA-2012-000504	Request	Simple	Michael Muffat	07/31/2012	08/28/2012	Estimate Costs	
Non-Participating	Consultation	TBD		07/30/2012	08/09/2012		

6 items found, displaying all items.

Export options: CSV | Excel

The tracking number of consultations received from non-participating agencies is "Non-Participating." Clicking the Non-Participating Tracking Number link displays the Input Consultation page (see Exhibit 2-21 Complete Non-Participating Consultation).

Exhibit 2- 21 Complete Non-Participating Consultation



Input Consultation

This page is used when a consultation is received from outside of the FOIA Module application.

Complete Consultation

Received From: Department of Justice
Submittal Date: 08/08/2012
Consultation Date: 08/09/2012
Due Date: 08/14/2012
Request Description: Requesting information pertaining to Region 5.
Comment: Please review the attached record for the proper redaction.
* Agency Opinion:

Attached Files

Attached File	Type	Size (KB)
PCBContaminatedSedimentsStrategy.pdf	PDF	678.93

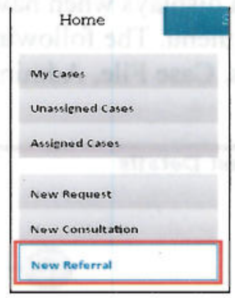
COMPLETE CANCEL

Enter the agency opinion and press the Complete button to close out the consultation. Keep in mind that consultations input from non-participating agencies will still need to be responded offline (external to FOIAonline). These consultations are input into the system for tracking in the Annual Report.

2.3.7 New Referral

When a referral from a non-participating agency comes in offline (external to FOIAonline), the referral can be entered into the system by clicking the New Referral action from the left side action menu while on any of the three dashboards:

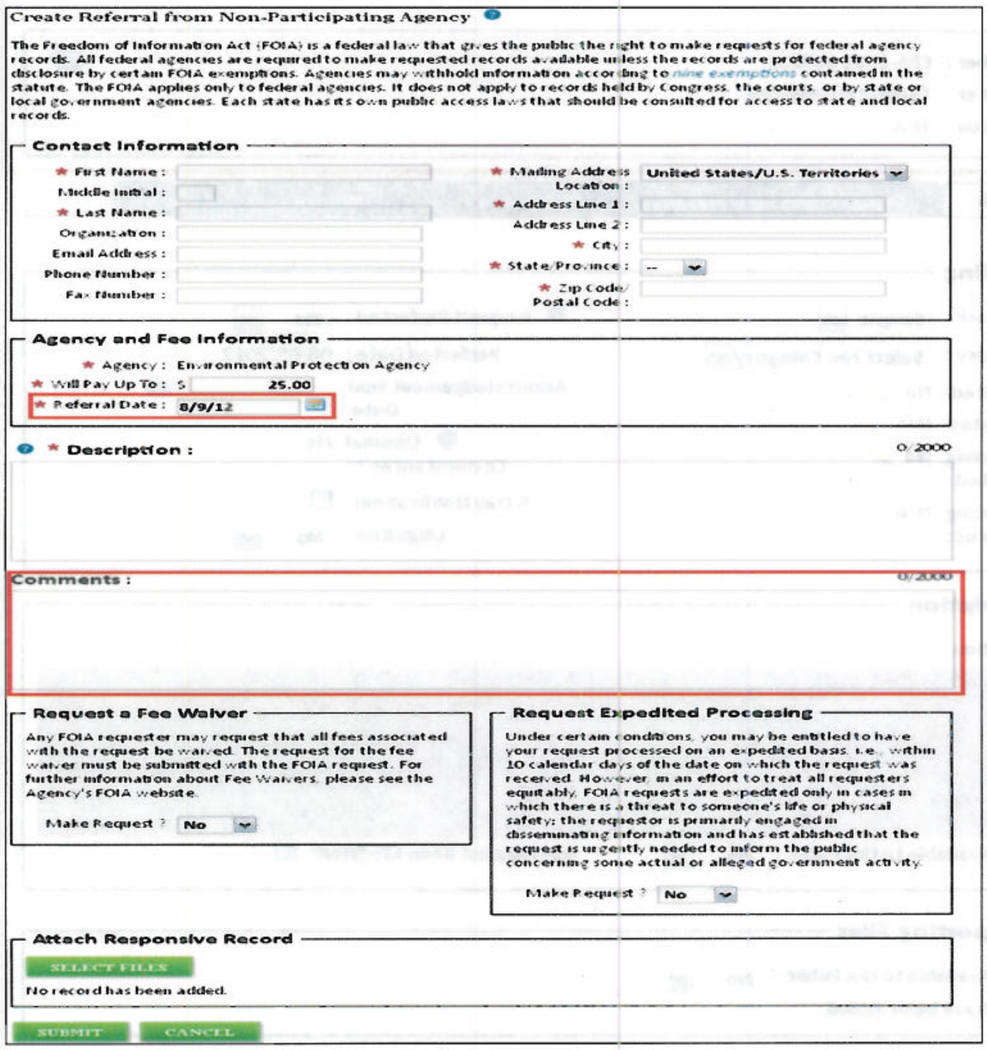
Exhibit 2- 22 New Referral Action



The Create Referral from Non-Participating Agency page (see Exhibit 2-23 Create Referral from Non-Participating Agency Page

) is similar to the Create Request page (see section 2.3.5 New

Exhibit 2- 23 Create Referral from Non-Participating Agency Page

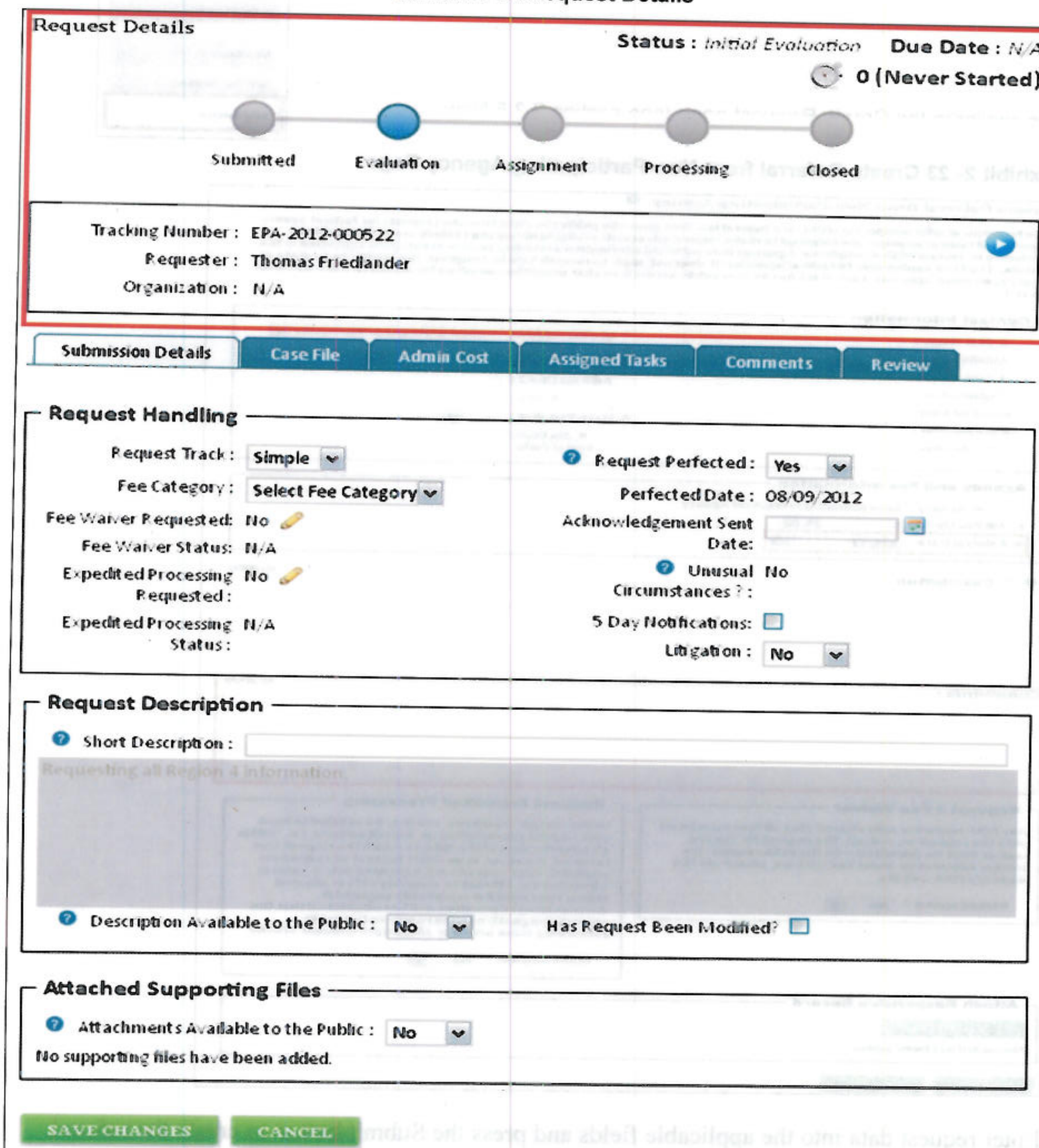


Enter request data into the applicable fields and press the Submit button to create the referral. The referral then displays in the appropriate Unassigned Cases dashboard.

2.4 Request Details

The Request Details page (see Exhibit 2-24 Request Details) displays by clicking on the Tracking Number link of a request from any of the three dashboards. The top half of the page contains the following information: status, clock, workflow, and requester information. This section displays when navigating through any of the sub tabs or related actions from the left side action menu. The following sub tabs display under the static request information: Submission Details, Case File, Admin Cost, Assigned Tasks, Comments, and Review.

Exhibit 2- 24 Request Details



2.4.1 Statuses

A request can have the following statuses: Submitted, Initial Evaluation, Assignment Determination, Estimate Costs, Research Records, Evaluation of Records, Final Preparation of Response, Withdrawn, and Closed.

The status changes from Submitted to Initial Evaluation upon opening the request for the first time. The status displays on both the Request Details page and the My Cases and Assigned Cases dashboards, as shown in Exhibit 2-25 Request Status.

Exhibit 2- 25 Request Status

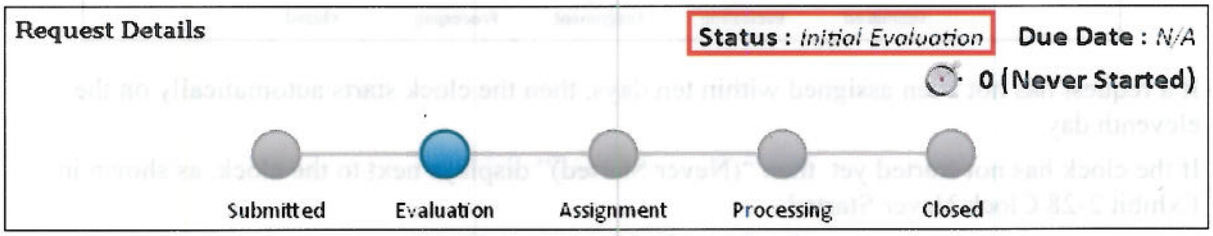


Exhibit 2- 26 Status Column

Assigned Cases   Filter: All   Results: 25

14 items found, displaying all items.

Tracking Number	Type	Track	Submitted	Assigned To	Due	Status	Detail
EPA-2012-000519	Request	TBD	08/03/2012	Thomas Marks	TBD	Withdrawn	
EPA-2012-000512	Task	Simple	08/02/2012	HQ	TBD	Evaluation of Records	
EPA-2012-000504	Task	Simple	08/01/2012	Emily Peters	TBD	Estimate Costs	
EPA-2012-000513	Request	TBD	08/01/2012	Thomas Marks	TBD	Assignment Determination	

The status changes to Assignment Determination upon first assignment to either an organization or an individual (see section 2.5.1 Make Assignment).

Estimate Costs is an optional status that displays when the Estimate costs action is performed (see section 2.5.2 Estimate Costs).

The Research Records status displays when the first record is uploaded to the case file (see section 2.5.6 Upload Responsive Records).

The Evaluation of Records status displays when the first exemption or exclusion is applied to an uploaded record.

The Final Preparation of Response status displays when the Begin Closeout action is performed (see section 2.5.14 Begin Close out Process).

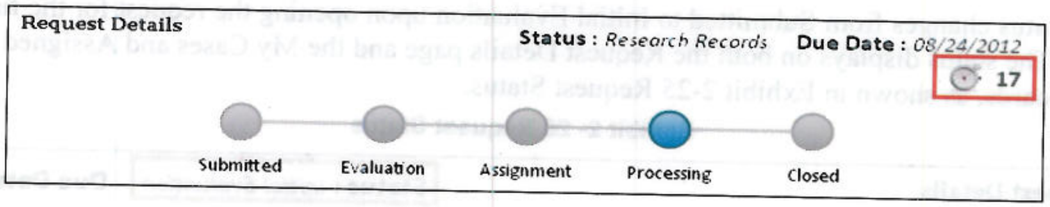
The Withdrawn status displays when a registered user withdraws the request. If a request is withdrawn, the agency user must take the necessary actions to officially close the request.

The Closed status displays when the Final Disposition Notice is sent to the requester.

2.4.2 Clock

The clock displays on the Request Details page, as shown in Exhibit 2-27 Clock. The clock begins once a request is both perfected and assigned.

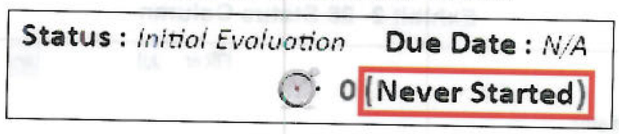
Exhibit 2- 27 Clock



If a request has not been assigned within ten days, then the clock starts automatically on the eleventh day.

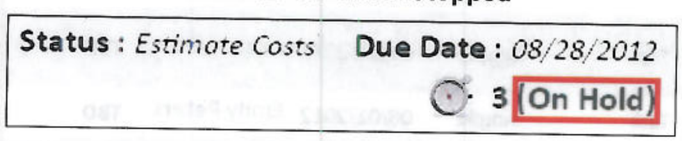
If the clock has not started yet, then "(Never Started)" displays next to the clock, as shown in Exhibit 2-28 Clock Never Started.

Exhibit 2- 28 Clock Never Started



When the clock has been stopped via the Stop the Clock action (see section 2.5.3 Stop the Clock), then "(On Hold)" displays next to the clock, as shown in Exhibit 2-29 Clock Stopped.

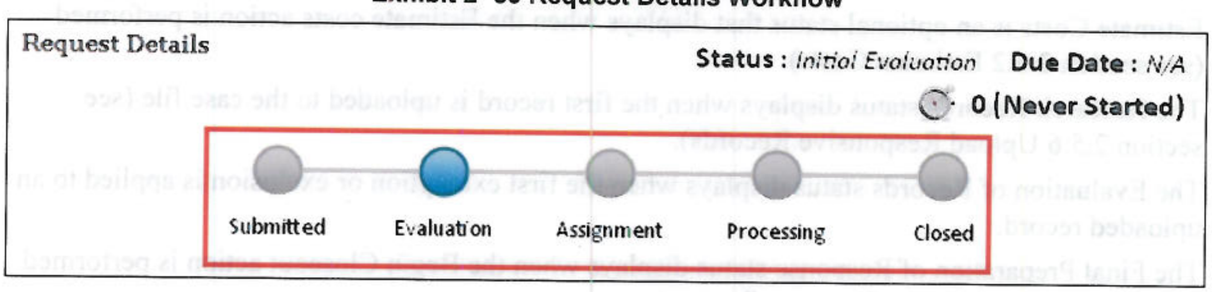
Exhibit 2- 29 Clock Stopped



2.4.3 Workflow

The workflow displays on the Request Details page and contains five phases: Submitted, Evaluation, Assignment, Processing, and Closed. This workflow graphic displays on both the public and agency sides and offers the user a quick glance as to the status of the request.

Exhibit 2- 30 Request Details Workflow

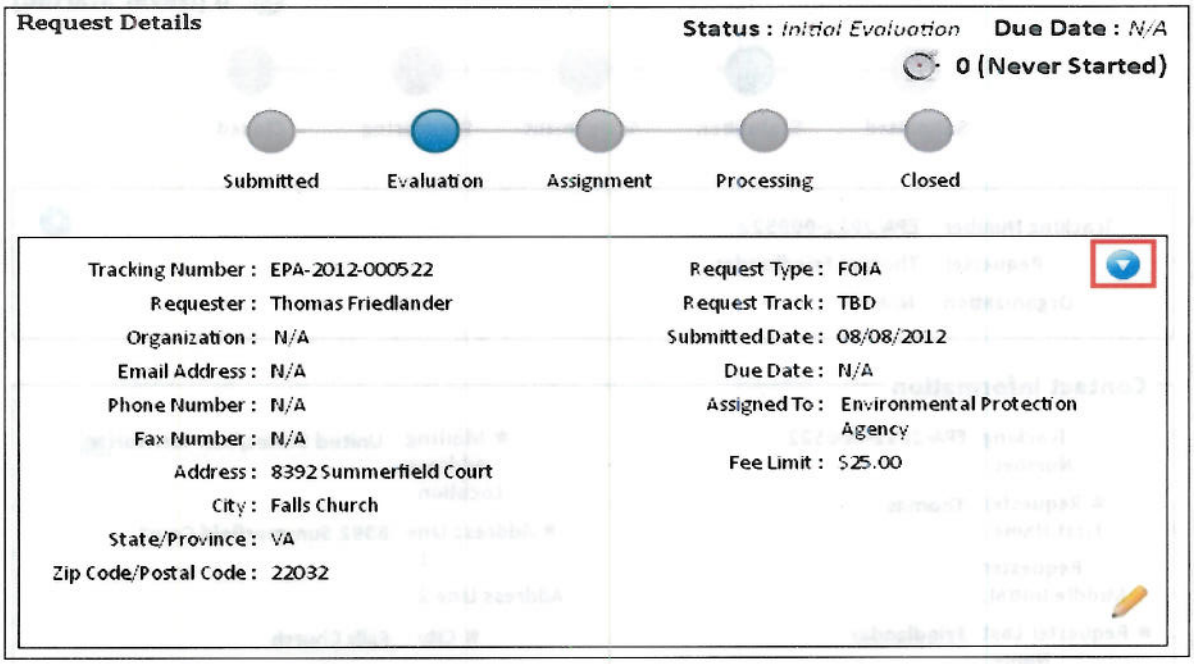


Opening a request for the first time changes the workflow to "Evaluation," upon first assignment, the workflow changes to "Assignment," upon first record upload the workflow changes to "Processing," and once the Final Disposition Notice is sent, the workflow changes to "Closed."

2.4.4 Requester Information

On the Request Details page, three requester-specific fields display at all times: the Tracking Number of the request, the requester's name, and the requester's organization. Clicking on the arrow icon in this section expands more requester information, as shown in Exhibit 2-31 Requester Information.

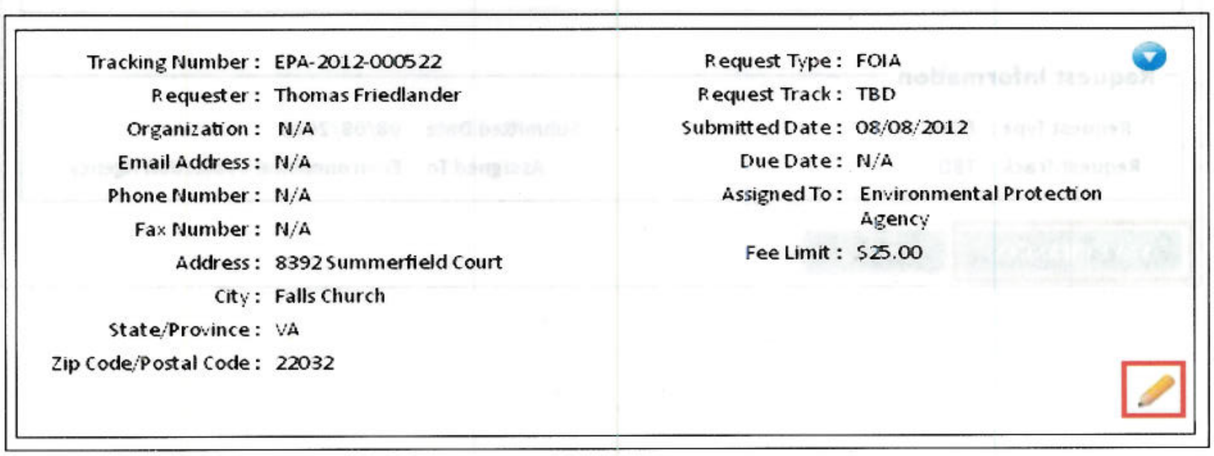
Exhibit 2- 31 Requester Information



Edit Requester Information

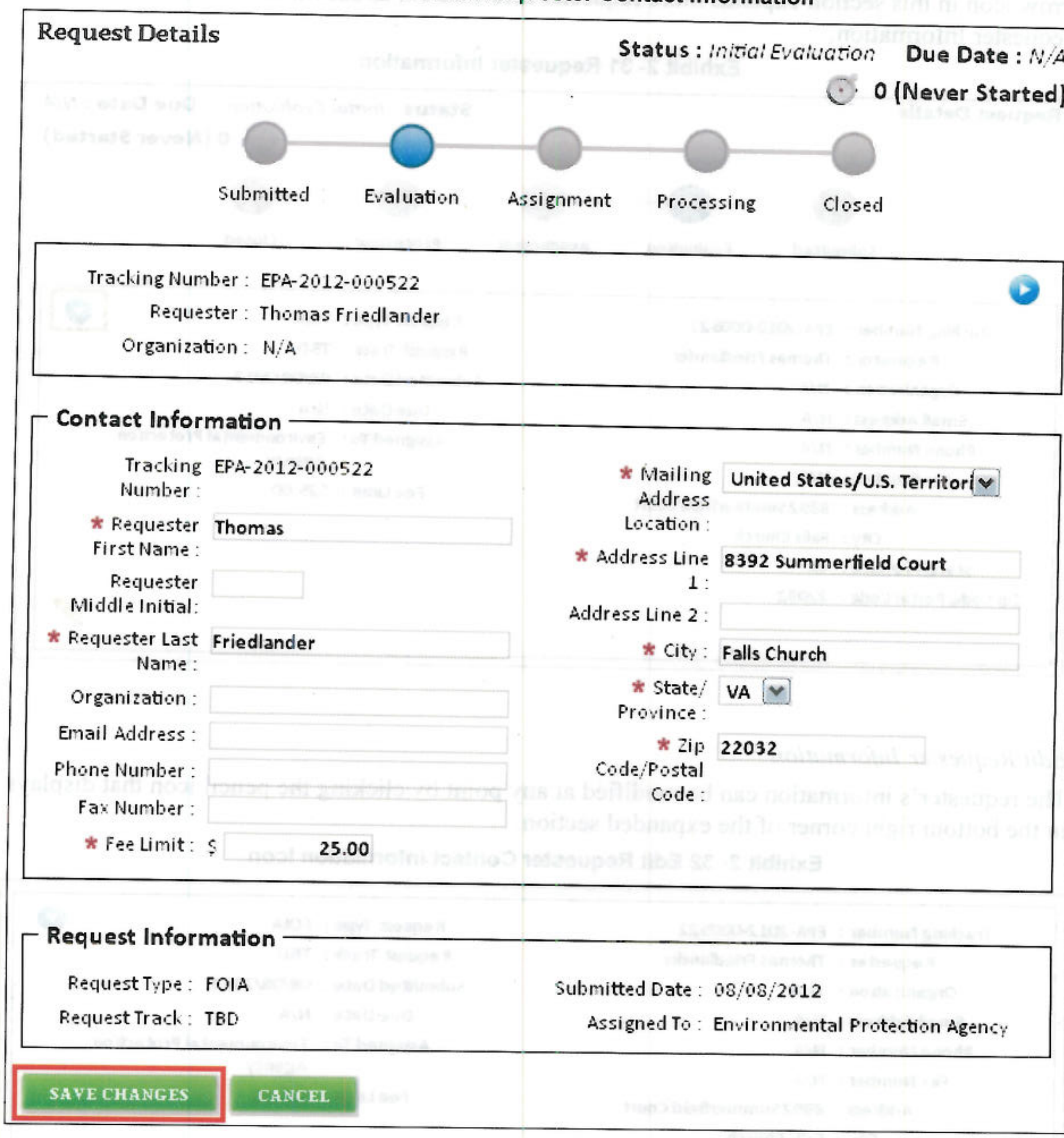
The requester's information can be modified at any point by clicking the pencil icon that displays in the bottom right corner of the expanded section.

Exhibit 2- 32 Edit Requester Contact Information Icon



The edit page allows users to modify the requester's contact information. Press the Save Changes button as indicated in Exhibit 2-33 Edit Requester Contact Information, to save the modifications.

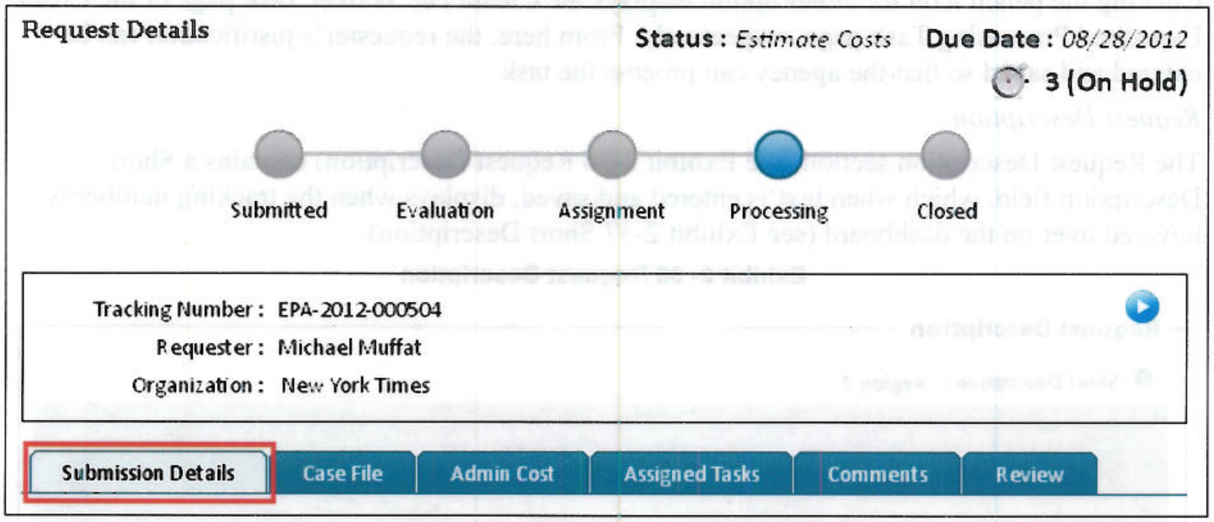
Exhibit 2- 33 Edit Requester Contact Information



2.4.5 Submission Details

Submission Details is the default tab on the Request Details page that displays when opening a request. It consists of three sections: Request Handling, Request Description, and Attached Supporting Files.

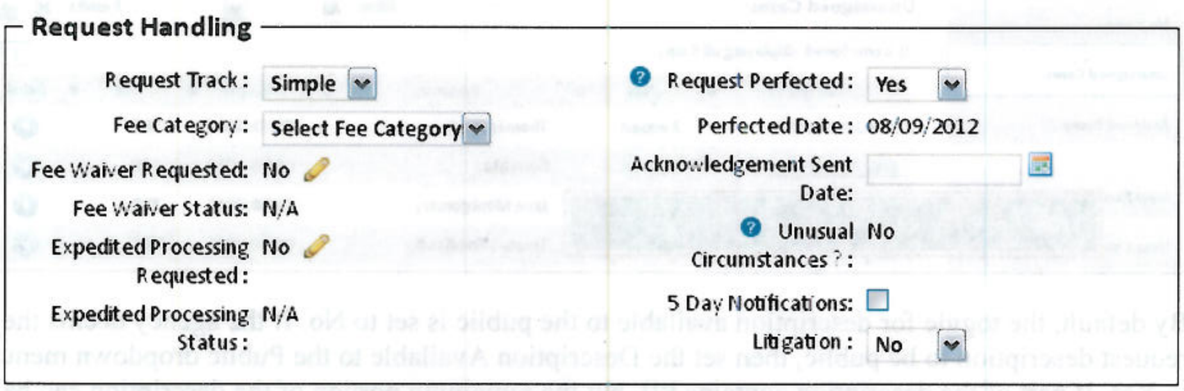
Exhibit 2- 34 Submission Details Tab



Request Handling

The Request Handling section of the Submission Details sub tab, as shown in Exhibit 2-35 Request Handling, contains information pertaining to the request track, the requester's fee category, whether or not special handling or processing was requested, if the request is perfected, and if notifications should be associated with the request.

Exhibit 2- 35 Request Handling



Upon first opening the request, the perfected dropdown menu defaults to Yes so that it can be quickly saved. If the page is not saved at this point by pressing the Save Changes button then the dropdown menu will switch to No when it is accessed the next time. It is important to remember to change the Request Perfected dropdown menu to No (if the request has not been opened before) and other modifications have been made – the request perfection can NOT be changed once it is set to Yes.

The Request Track can be modified from Simple to Complex, but it cannot be modified from Complex to Simple.

If a Fee Waiver and/or Expedited Processing were not initially requested, the agency user has the option to do so by clicking the pencil icon that displays next to the two fields: Fee Waiver Requested and Expedited Processing Requested, as shown in Exhibit 2-35 Request Handling. Clicking the pencil icon for either option displays the Create Fee Waiver Task page or the Create Expedited Processing Task page, respectively. From here, the requester's justification can be entered and saved so that the agency can process the task.

Request Description

The Request Description section (see Exhibit 2-36 Request Description) contains a Short Description field, which when text is entered and saved, displays when the tracking number is hovered over on the dashboard (see Exhibit 2-37 Short Description).

Exhibit 2- 36 Request Description

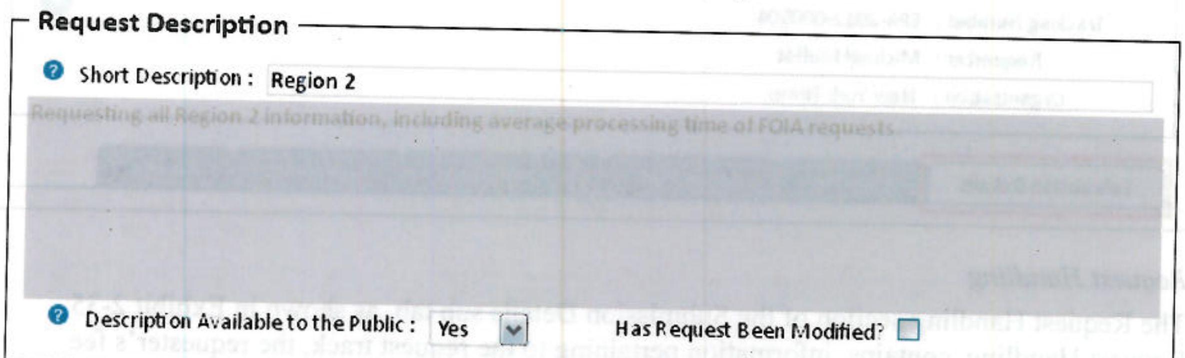
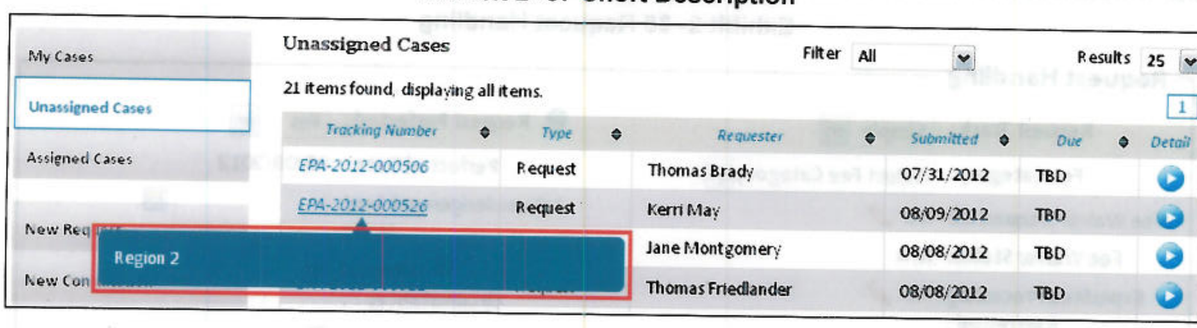


Exhibit 2- 37 Short Description

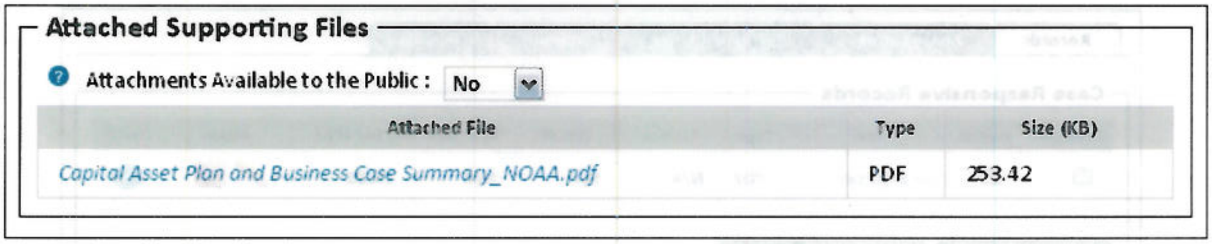


By default, the toggle for description available to the public is set to No. If the agency deems the request description to be public, then set the Description Available to the Public dropdown menu to Yes. If part of the description contains PII, but the remaining portion of the description can be available to the public, then the description can be modified by checking the "Has Request Been Modified?" checkbox. This expands a text field with the original description pre-populated in it, allowing the user to redact or modify part of the description. The text that is saved in this field is what the public sees upon searching. If for some reason a registered user (the requester) modifies the request description, the agency user will see this box checked.

Attached Supporting Files

The supporting documents attached (by the requester) with the request are displayed in the Attached Supporting Files section. This section also allows an agency user to make any attached files publically viewable by selecting Yes from the Attachments Available to the Public dropdown menu which is defaulted to No.

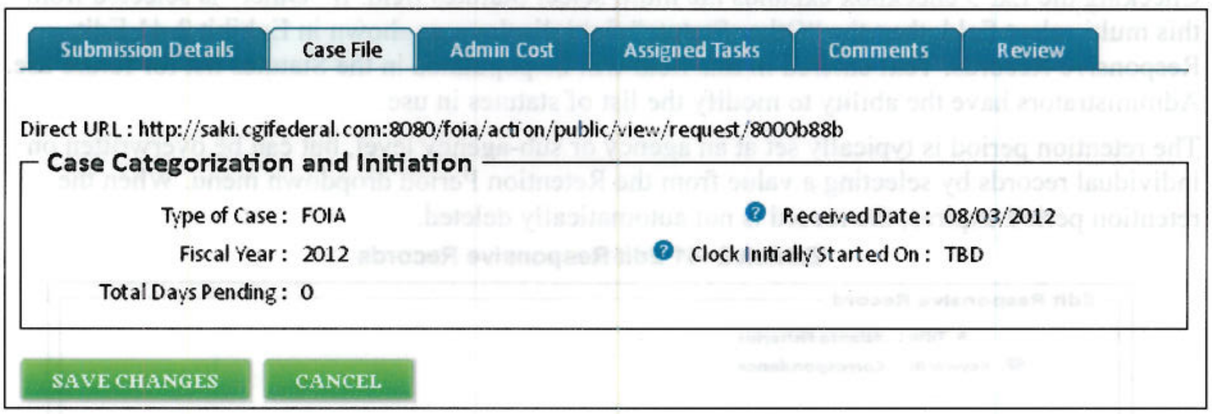
Exhibit 2- 38 Submission Details Attached Files



2.4.6 Case File

Clicking the Case File tab displays the direct URL of the case file and the Case Categorization and Initiation section. This section displays when the request was submitted and the initial clock start date.

Exhibit 2- 39 Case File Tab

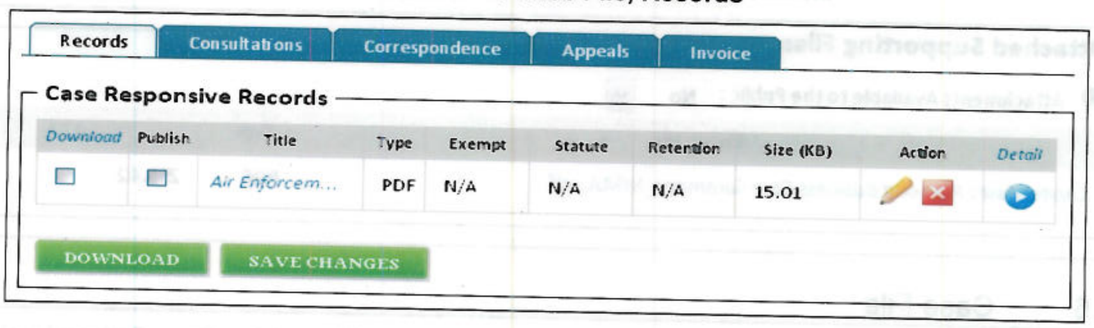


The following sub tabs display under the Case File tab: Records, Consultations, Correspondence, Appeals, and Invoice.

Records

The Records sub tab contains all responsive records that have been uploaded to the case file. From this table, records can be quickly selected for downloading, publishing, editing, or removing. Clicking the Detail icon expands a row that contains the direct URL to access the particular record.

Exhibit 2- 40 Case File, Records

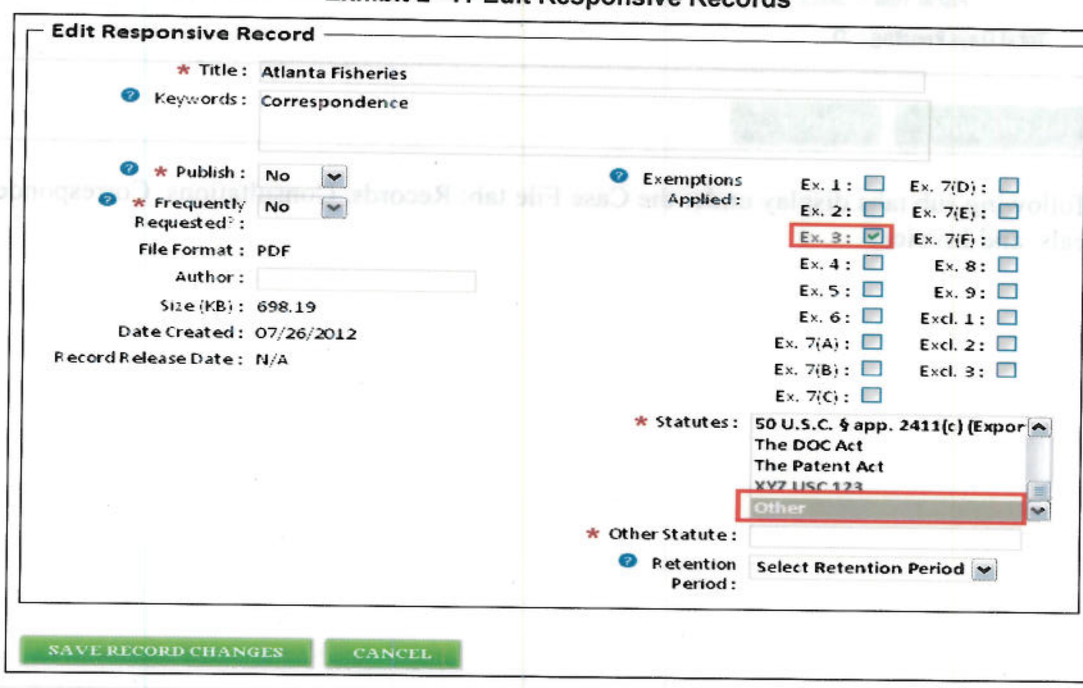


Clicking the pencil icon displays the Edit Responsive Records page, where exemptions and exclusions can be applied to individual records in addition to providing or modifying optional metadata.

Checking the Ex. 3 checkbox expands the multi select Statutes field. If "Other" is selected from this multi select field, then the "Other Statute" field displays, as shown in Exhibit 2-41 Edit Responsive Records. Text entered in this field will be populated in the Statutes list for future use. Administrators have the ability to modify the list of statutes in use.

The retention period is typically set at an agency or sub-agency level, but can be overwritten on individual records by selecting a value from the Retention Period dropdown menu. When the retention period expires, the record is not automatically deleted.

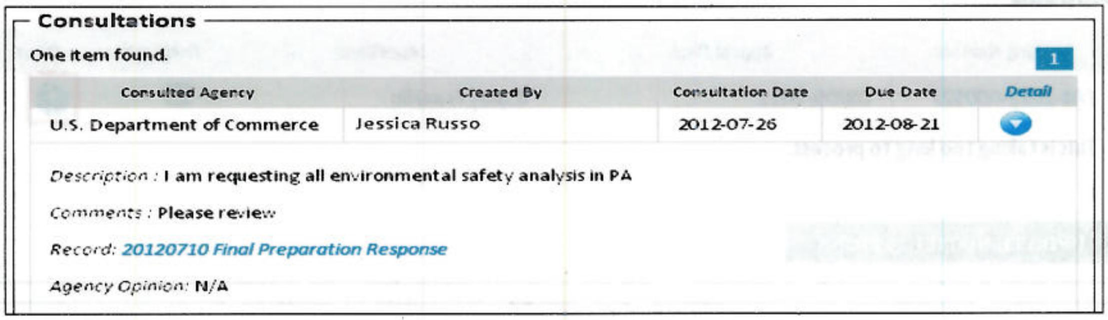
Exhibit 2- 41 Edit Responsive Records



Consultations

The Consultations sub tab, as shown in Exhibit 2-42 Case File- Consultations, contains a table of any associated consultations that were created via the Create Consultation action (see section 2.5.8 Create Consultation).

Exhibit 2- 42 Case File - Consultations

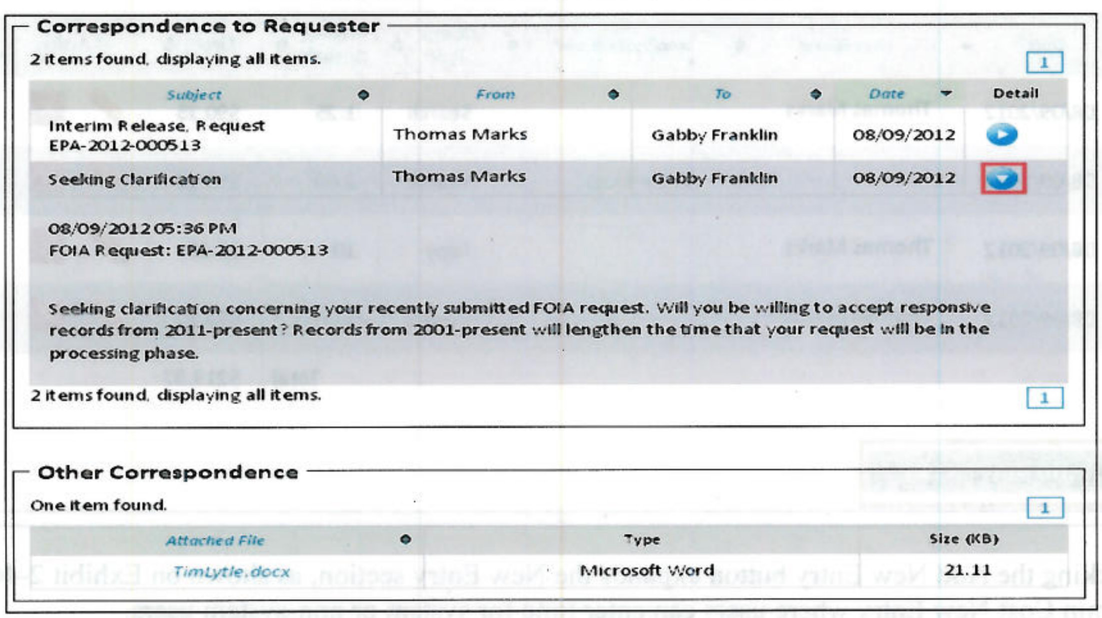


Correspondence

When unread correspondence exists in the case file, clicking on the Tracking Number link from the dashboard sends the user directly to the Correspondence sub tab (as discussed in section 2.3.4 Icons (Backlogged, Clock Stopped, Correspondence), Filters, and Pagination, new correspondence is indicated by a letter icon).There are two types of correspondence: correspondence that happens within the system and offline correspondence that is uploaded to the case file.

The correspondence that occurs within the system displays in a table in the Correspondence to Requester section, and offline correspondence displays in the Other Correspondence section. Correspondence is created via the Create Correspondence action (see section 0 2.5.7 Create Correspondence).

Exhibit 2- 43 Correspondence Sub Tab



Clicking on the arrow icon in the Details column expands the correspondence.

Appeals

The Appeals sub tab contains a table of all associated appeals. Clicking the Tracking Number link for the appeal displays the Appeal Details page, depending on the user's level of access.

Exhibit 2- 44 Appeals Sub Tab

Appeals

Tracking Number	Appeal Date	Appellant	Notification	Basis
EPA-2012-000527	08/09/2012	Gabby Franklin	☐	
This is taking too long to process.				

UPDATE NOTIFICATIONS

Invoice

The Invoice sub tab contains a PDF of the invoice that is generated upon beginning the close out process. Clicking the title downloads the invoice to the hard drive. If interim releases are performed, then an invoice is generated for each interim release.

2.4.7 Admin Cost

Clicking the Admin Cost tab displays the Entries table, as shown in Exhibit 2-45 Admin Cost Entries Table, where users enter the amount of time spent on processing the request.

Exhibit 2- 45 Admin Cost Entries Table

Entries

Date	User Name	Non System User	Charge Type	Hours/ Quantity	Total	Action
08/09/2012	Thomas Marks		Search	1.25	$90.15	
08/09/2012		John Adams	Search	2.00	$50.00	
08/09/2012	Thomas Marks		Copy	10	$1.10	
08/09/2012	Thomas Marks		Review	1.00	$72.12	
				Total	$213.37	

ADD NEW ENTRY

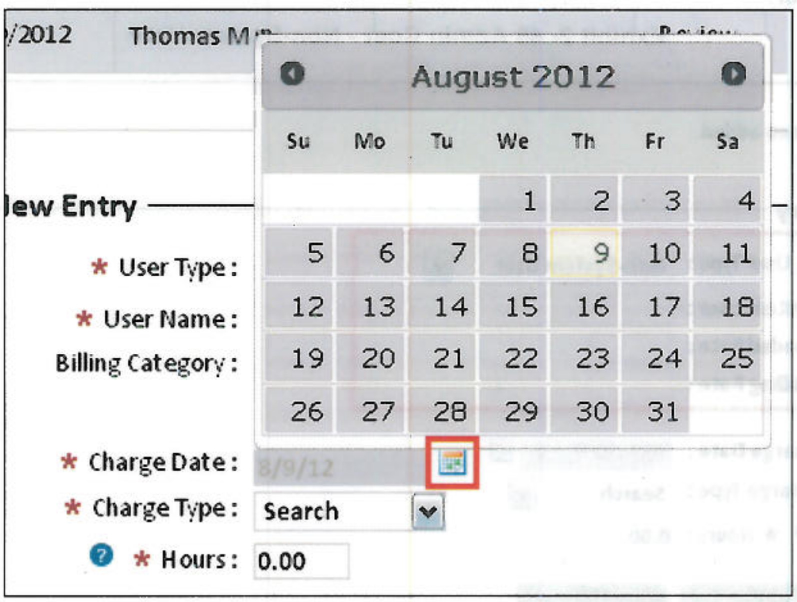
Clicking the Add New Entry button expands the New Entry section, as shown on Exhibit 2-46 Admin Cost New Entry where users can enter time for system or non-system users.

Exhibit 2- 46 Admin Cost New Entry

The User Name defaults to the user who is currently logged in, but users can add time for other individuals. Clicking the person icon next to the User Name field launches the Select Individual popup where an individual can be searched and their effort can be entered.

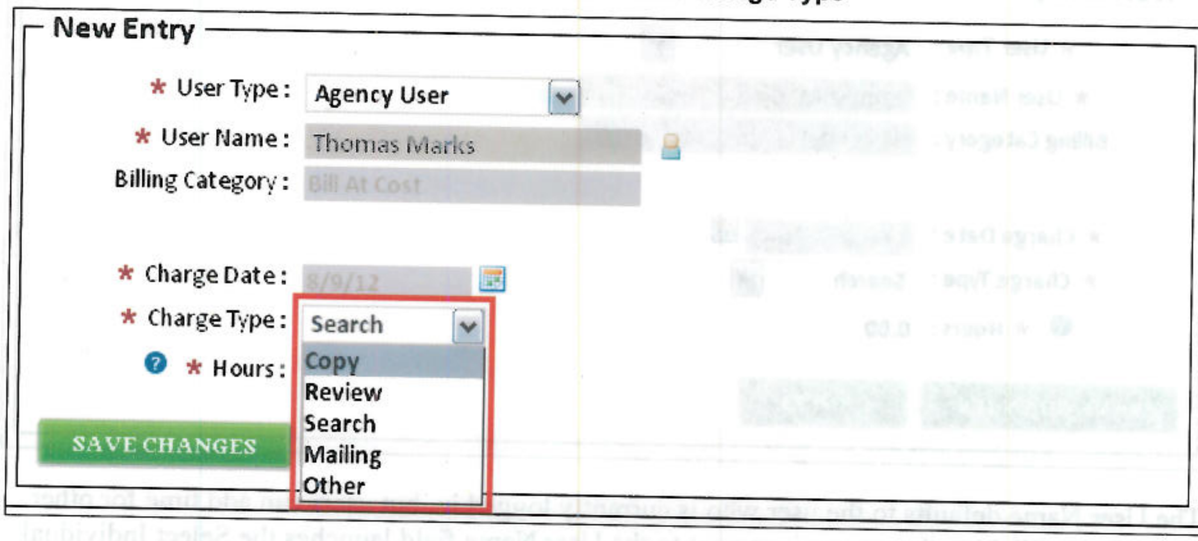
The date of the time entry can be modified by clicking the calendar icon next to the Charge Date field, as shown in Exhibit 2-47 Admin Cost New Entry Date.

Exhibit 2- 47 Admin Cost New Entry Date



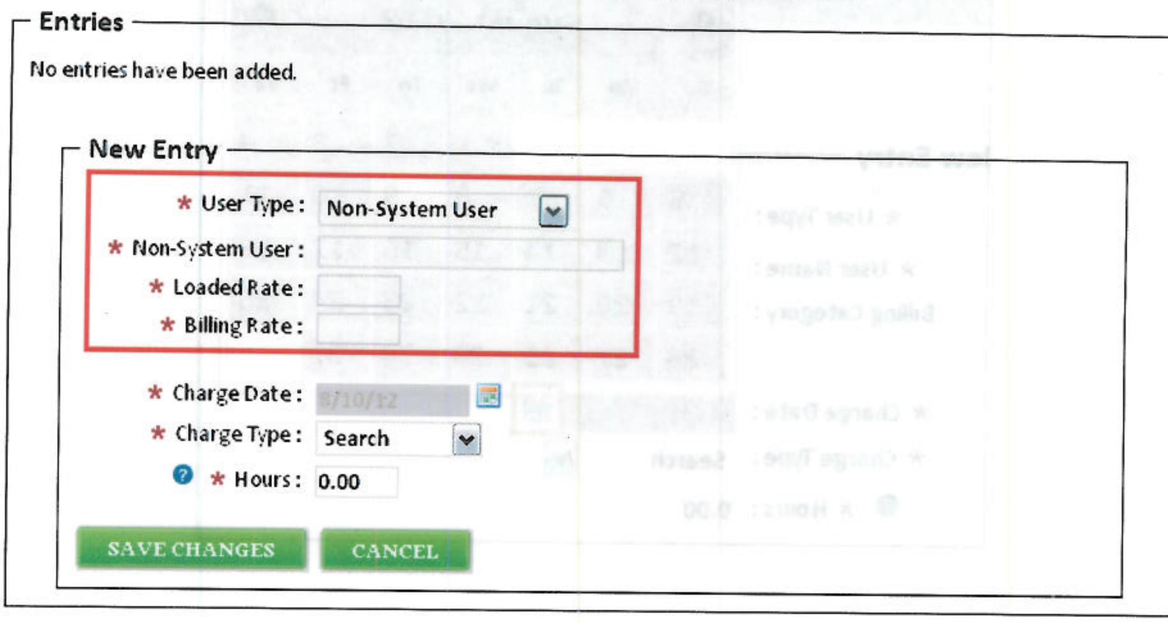
Select the proper charge type from the Charge Type dropdown menu:

Exhibit 2- 48 Admin Cost Charge Type



Selecting Non-System User from the User Type dropdown menu allows the agency user to add time for a non-system user who is not able to add time for him or herself, allowing the billing sheet to be a complete compilation of individuals who have performed processing on the request. The two fields Loaded Rate and Billing Rate display, which are required in order to add time for a non-system user.

Exhibit 2- 49 Admin Cost - Non-System User



Press the Save Changes to save the new entry. This will close the New Entry section and display the new entry in the Entries table in the admin cost tab. Entries can be modified by clicking the pencil icon, and they can be deleted by selecting the "X" icon, as shown in Exhibit 2- 50 Admin Cost Edit Entries.

Exhibit 2- 50 Admin Cost Edit Entries

Entries

Date	User Name	Non System User	Charge Type	Hours/ Quantity	Total	Action
08/09/2012	Thomas Marks		Search	1.25	$90.15	
08/09/2012		John Adams	Search	2.00	$50.00	
08/09/2012	Thomas Marks		Copy	10	$1.10	
08/09/2012	Thomas Marks		Review	1.00	$72.12	
				Total	$213.37	

ADD NEW ENTRY

2.4.8 Assigned Tasks

The Assigned Tasks tab, as shown in Exhibit 2-51, displays all tasks associated with the request. A request cannot be closed out with open tasks, so the Assigned Tasks tab offers insight as to what tasks have been created, which are completed, and who is responsible for outstanding tasks.

Exhibit 2- 51 Assigned Tasks

Submission Details | Case File | Admin Cost | Assigned Tasks | Comments | Review

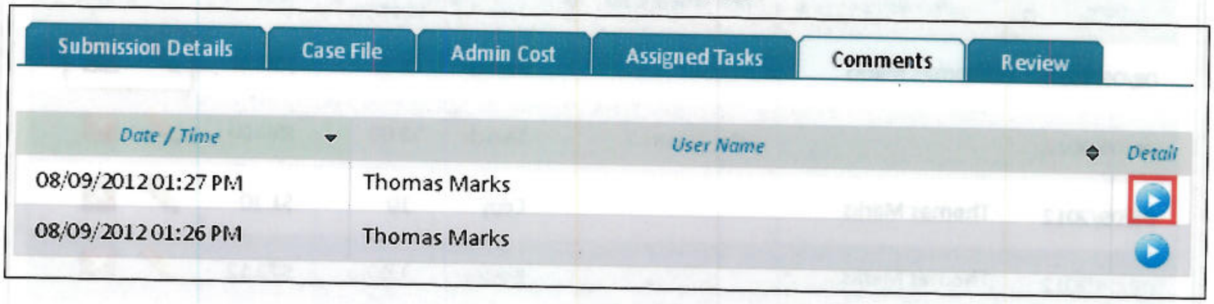
Outcome	Assigned To	Assigned By	Date Sent	Due Date	Completed Date	Notification	Detail
	EPA	Thomas Marks	08/07/2012				
Completed	Thomas Marks	Emily Peters	08/07/2012		08/07/2012		
Approve	Emily Peters	Thomas Marks	08/07/2012		08/07/2012		
Full Grant	EPA		08/02/2012		08/02/2012		

Clicking the arrow icon in the Detail column expands more information concerning the task. Clicking the Outcome link for completed tasks displays the Task Details page which offers a read-only view of the task.

2.4.9 Comments

The Comments tab is a journal of request processing. Comments created via the Create Comment action (see section 2.5.7 Create Comment) display in this tab.

Exhibit 2- 52 Comments



Clicking the arrow icon in the Detail column expands the comment.

2.4.10 Review

The Review tab contains details of the assigned reviewers to the case file. Upon close out, a Case File Review task is sent to the assigned reviewers to complete before the request can be closed out. Review tasks are distributed sequentially according to the review order. A second review cannot start until the first review is completed. Pressing the Add Reviewer button, as shown in Exhibit 2-53 Review, expands the New Reviewer section, as shown in Exhibit 2-54 New Reviewer.

Exhibit 2- 53 Review

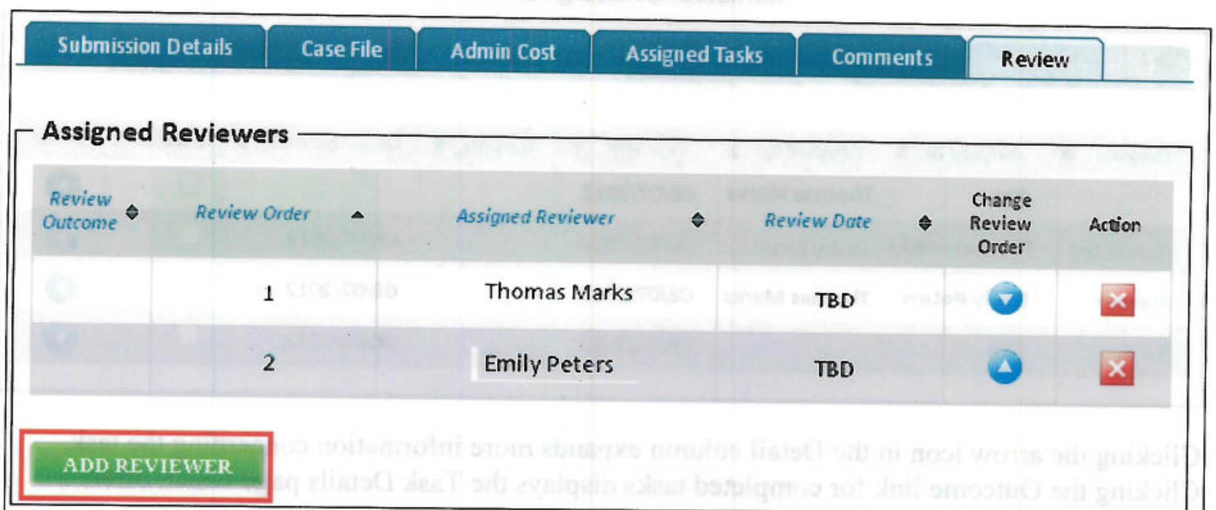
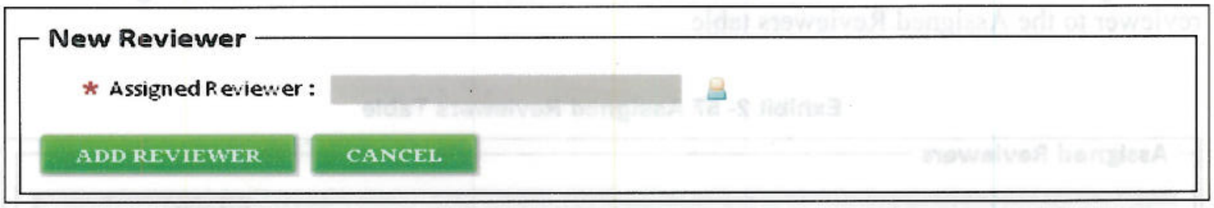
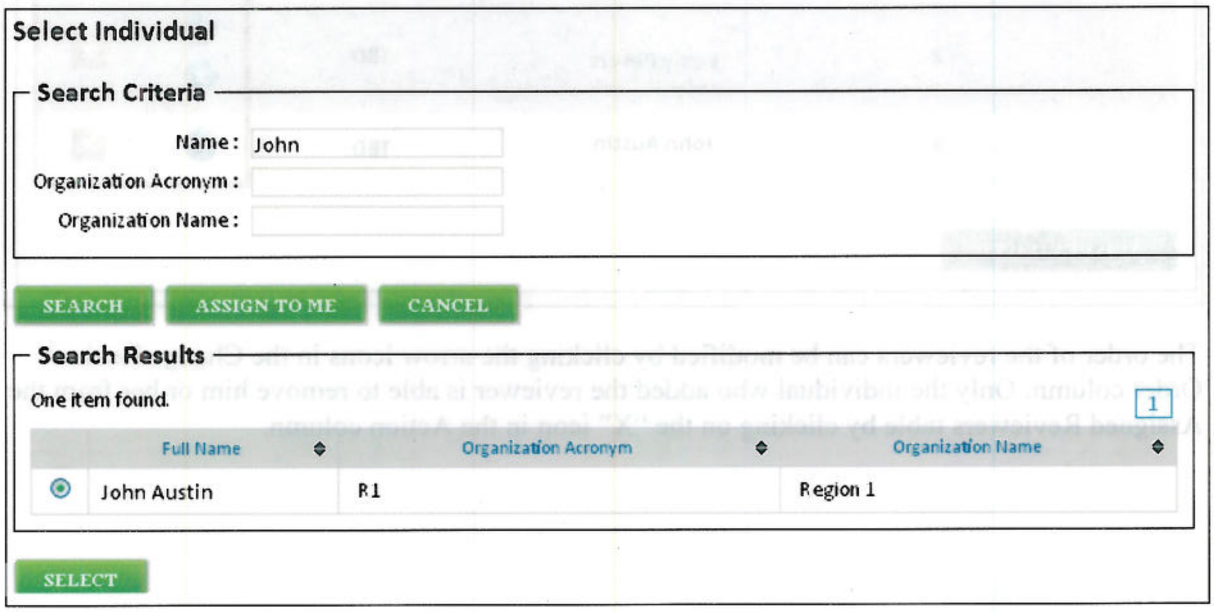


Exhibit 2- 54 New Reviewer



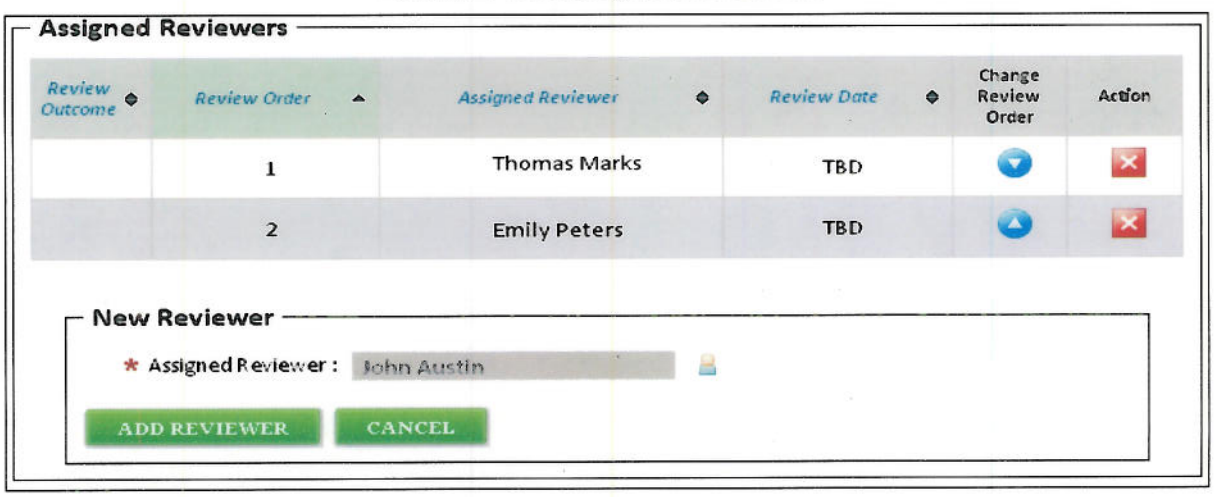
Clicking the person icon next to the Assigned Reviewer field launches the Select Individual popup where an individual can be searched and selected to be a reviewer.

Exhibit 2- 55 Select Individual Reviewer



Pressing the Select button closes the popup and displays the individual's name in the read-only Assigned Reviewer field.

Exhibit 2- 56 Adding a New Reviewer



Pressing the Add Reviewer button closes the New Reviewer section and adds the assigned reviewer to the Assigned Reviewers table.

Exhibit 2- 57 Assigned Reviewers Table

Assigned Reviewers

Review Outcome	Review Order	Assigned Reviewer	Review Date	Change Review Order	Action
	1	Thomas Marks	TBD		
	2	Emily Peters	TBD		
	3	John Austin	TBD		

ADD REVIEWER

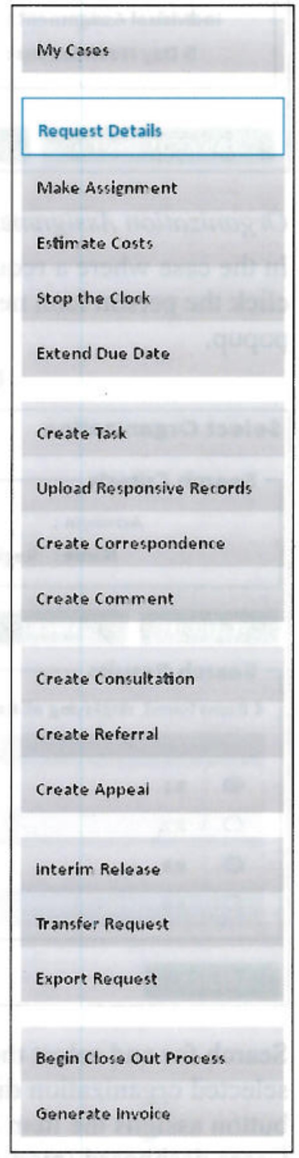
The order of the reviewers can be modified by clicking the arrow icons in the Change Review Order column. Only the individual who added the reviewer is able to remove him or her from the Assigned Reviewers table by clicking on the "X" icon in the Action column.

2.5 Actions Menu

The Actions Menu is the list of actions that display in the left side menu when a user opens up a request. Actions are limited when a request is not perfected. For instance, the only actions that display for an unperfected request are: Make Assignment, Estimate Costs, Create Correspondence, Create Comment, Create Appeal, Interim Release, Transfer Request, Export Request, and Begin Close Out Process.

The list of actions for a perfected request are: Make Assignment, Estimate Costs, Stop the Clock, Extend Due Date, Create Task, Upload Responsive Records, Create Correspondence, Create Comment, Create Consultation, Create Referral, Create Appeal, Interim Release, Transfer Request, Export Request, Begin Close Out Process, and Generate Invoice.

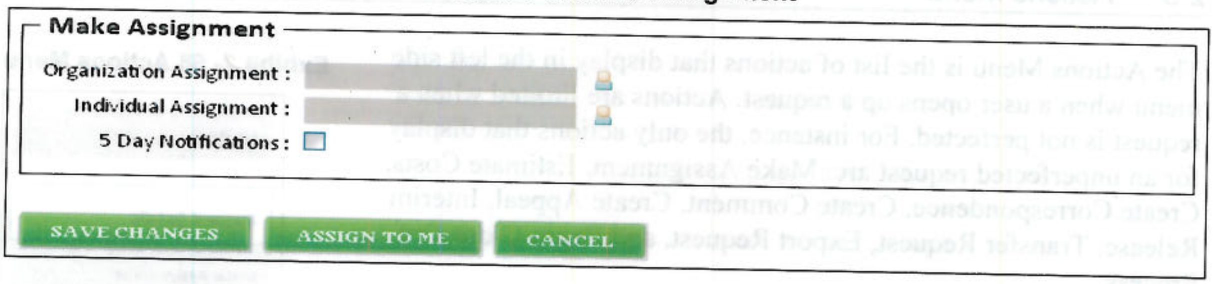
Exhibit 2- 58 Actions Menu



2.5.1 Make Assignment

The Make Assignment action displays the Make Assignment section of the Request Details page, as shown in Exhibit 2- 59 Make Assignment. An agency user can assign requests, tasks, appeals, referrals, and consultations. From here, a user can choose to assign an organization or an individual to process the request, task, appeal, referral, or consultation, including quickly assigning the item to him or herself for processing. An item can only be assigned to one organization or one individual –ultimately there needs to be one individual assigned to process an item, though many groups or employees can contribute to the processing of the item via the Create Task action (see section 2.5.5 Create Task).

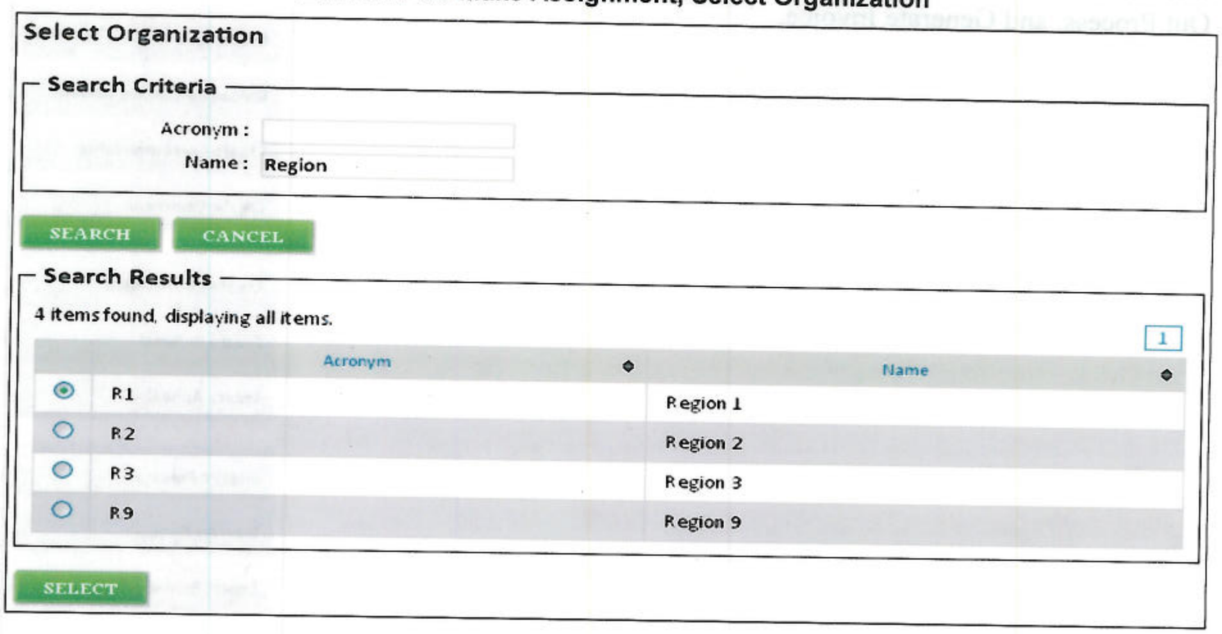
Exhibit 2- 59 Make Assignment



Organization Assignment

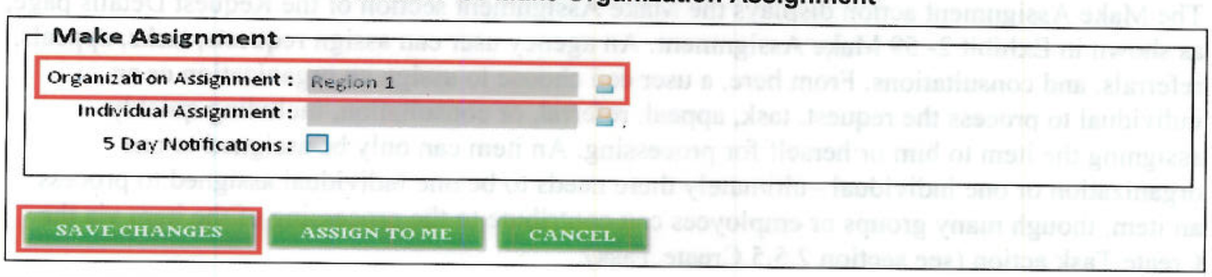
In the case where a request needs to be assigned to an organization, e.g., a level 2 sub-agency, click the person icon next to the Organization Assignment field to launch the Select Organization popup.

Exhibit 2- 60 Make Assignment, Select Organization



Search for and select the desired sub-agency and press the Select button to close the popup. The selected organization displays in the Organization Assignment field. Pressing the Save Changes button assigns the item to the organization, which sends it to that organization's Unassigned Cases dashboard (monitored by either Coordinators or Public Liaisons, depending on which sub-agency was chosen).

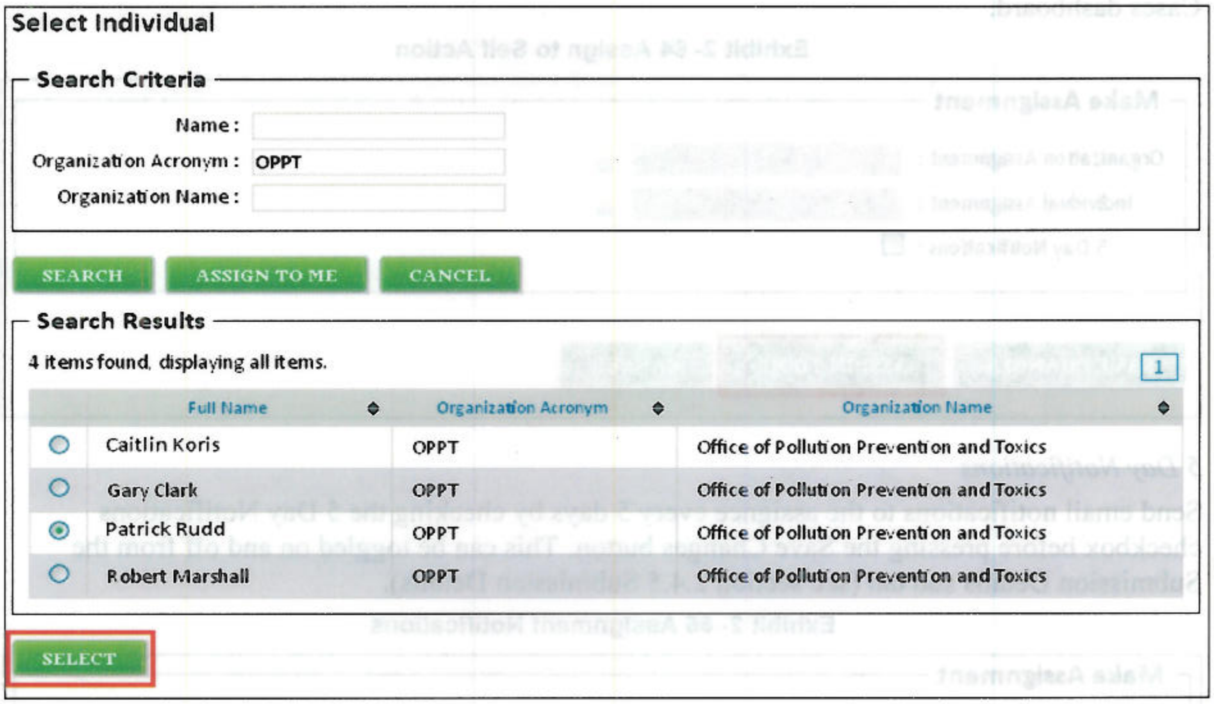
Exhibit 2- 61 Make Organization Assignment



Individual Assignment

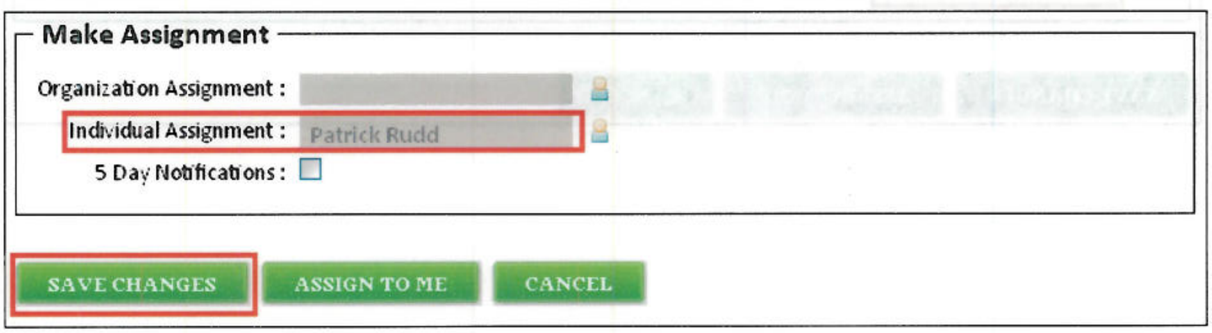
Assign an item to a specific individual by clicking the person icon next to the Individual Assignment field to launch the Select Individual popup.

Exhibit 2- 62 Make Assignment, Select Individual



Search for and select the desired individual to process the item; press the Select button to close the popup.

Exhibit 2- 63 Make Individual Assignment

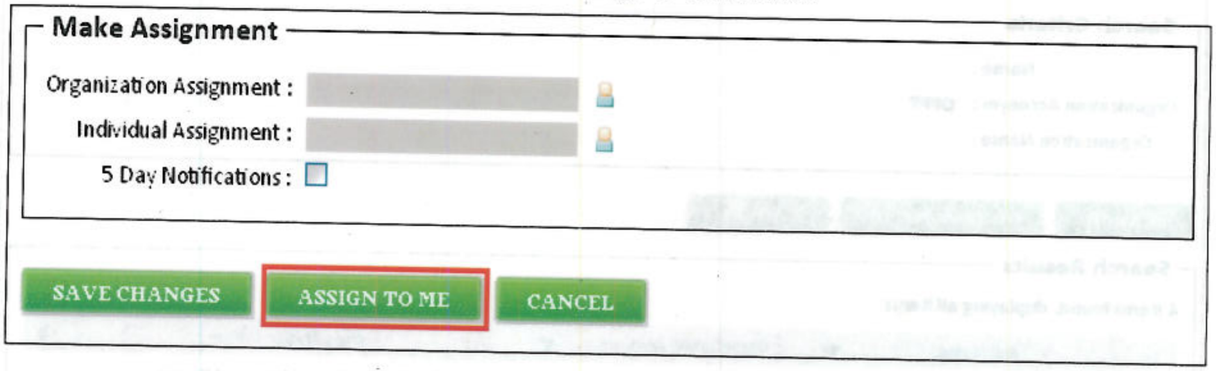


Pressing the Save Changes button displays a confirmation message at the top of the page, indicating the item has been successfully assigned.

Assign to Self

Quickly take ownership of an item by pressing the Assign to Me button, as shown in Exhibit 2-64 Assign to Self Action. The user's name displays in the Individual Assignment field; commit the assignment by pressing the Save Changes button. The item now displays in the user's My Cases dashboard.

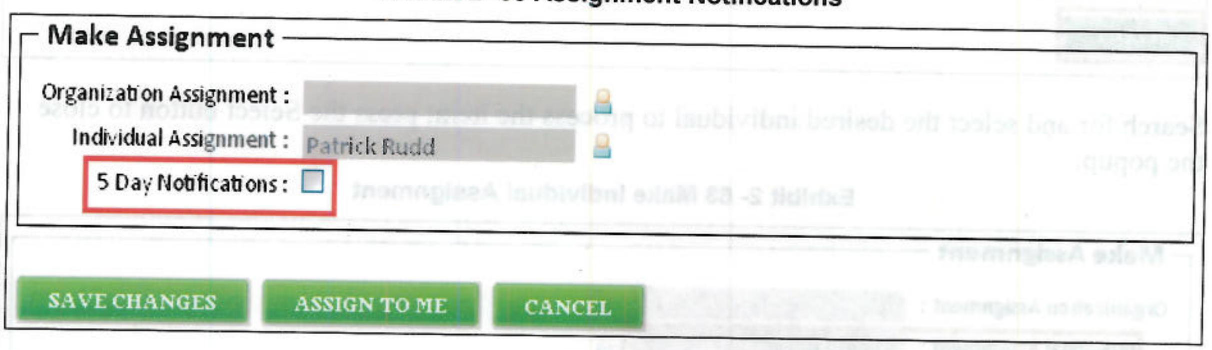
Exhibit 2- 64 Assign to Self Action



5 Day Notifications

Send email notifications to the assignee every 5 days by checking the 5 Day Notifications checkbox before pressing the Save Changes button. This can be toggled on and off from the Submission Details sub tab (see section 2.4.5 Submission Details).

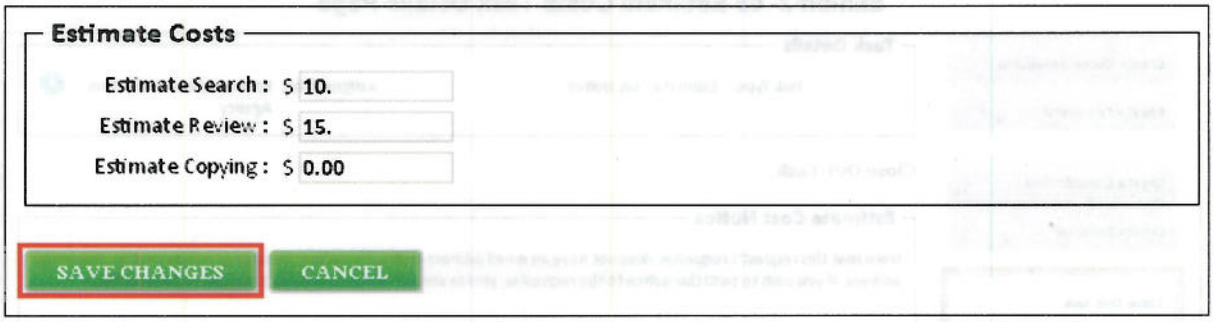
Exhibit 2- 65 Assignment Notifications



2.5.2 Estimate Costs

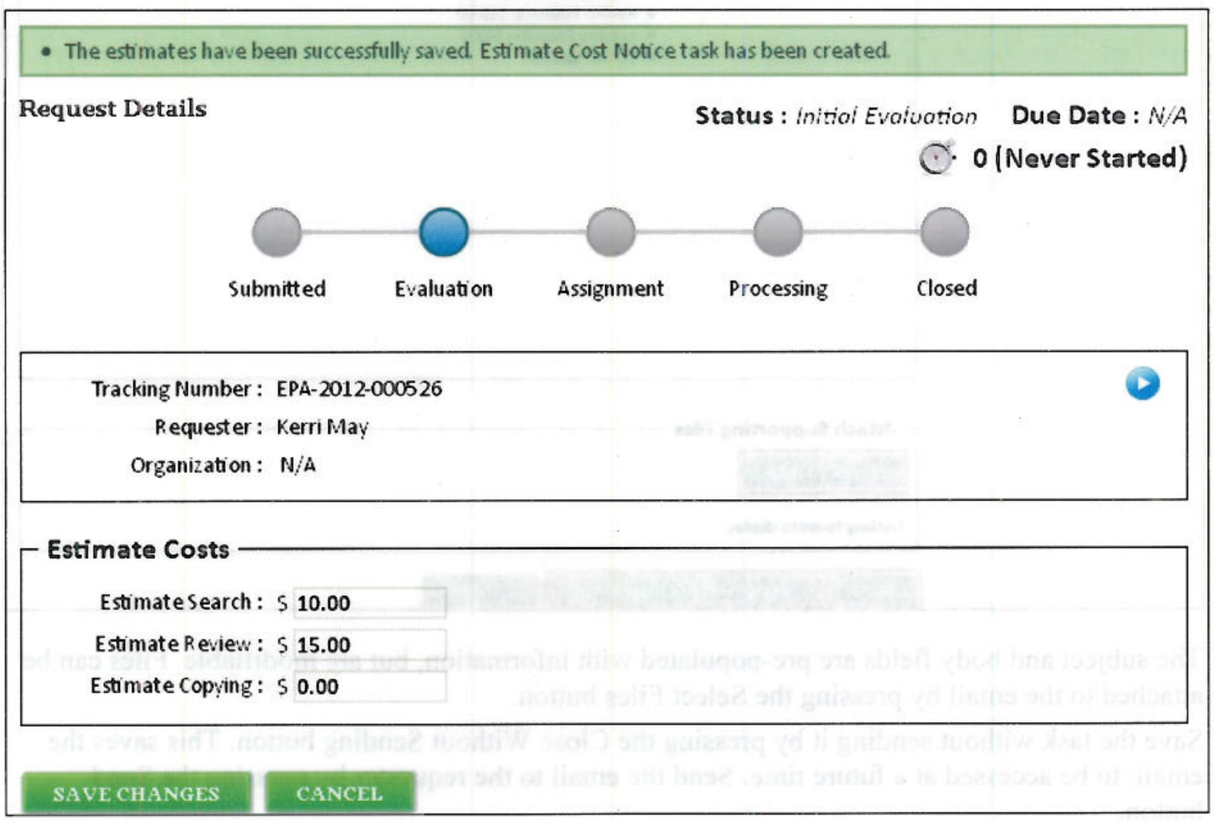
The Estimate Costs action allows the agency user to estimate how much the requester will have to pay in fees.

Exhibit 2- 66 Estimate Costs Page



Pressing the Save Changes button generates an Estimate Costs task, which allows the agency user to review and modify an email that will be sent to the requester.

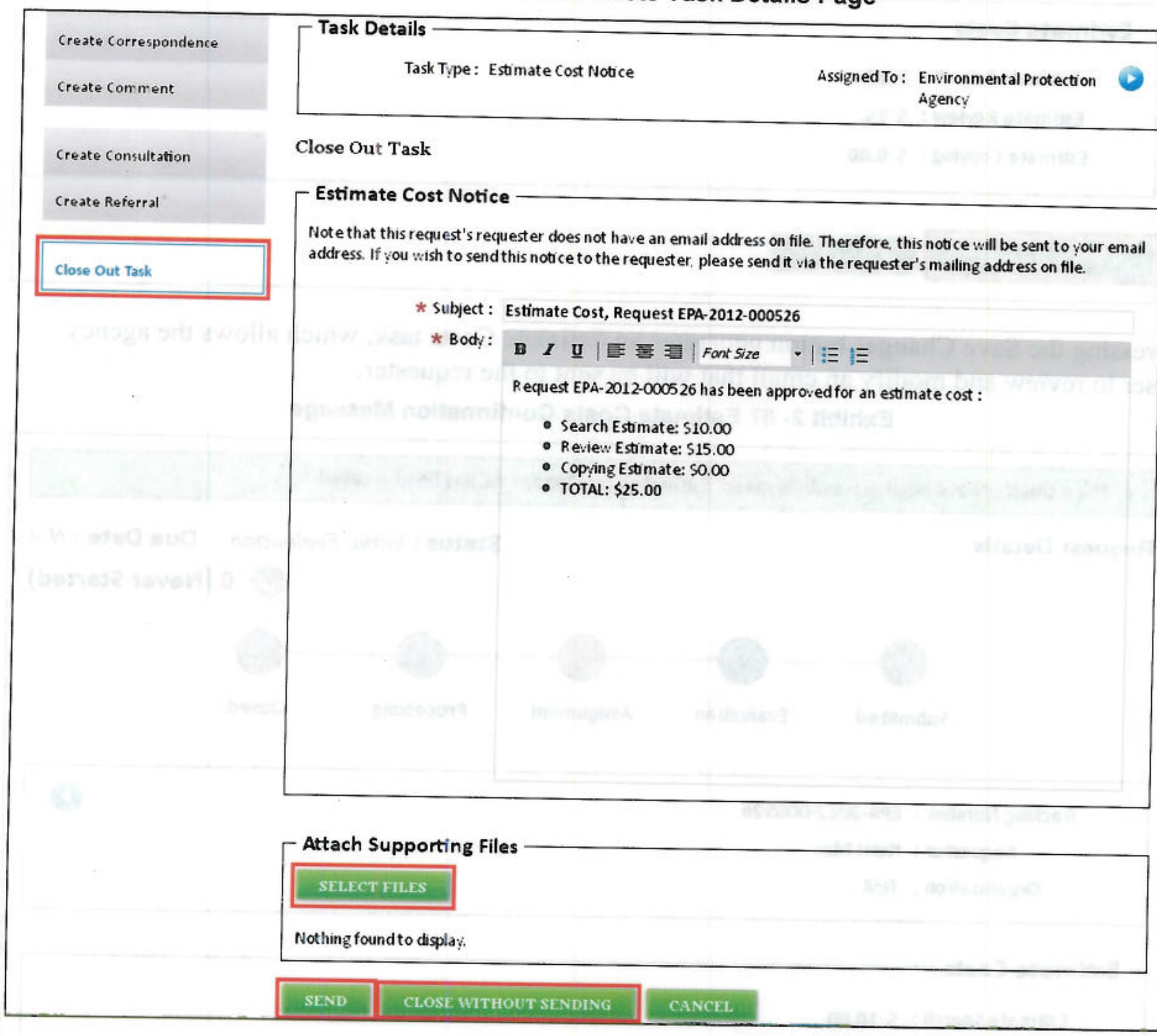
Exhibit 2- 67 Estimate Costs Confirmation Message



If the request has been assigned then the Estimate Costs task displays in the assignee's My Cases dashboard. If the request is unassigned, then the Estimate Costs task displays in the Unassigned Cases dashboard.

Clicking the Tracking Number for the Estimate Costs task, which is the same number as the corresponding request, displays the Request Details page. Click the Close Out Task action from the left side actions menu to display the Task Details page as shown in Exhibit 2-68 Estimate Costs Task Details Page.

Exhibit 2- 68 Estimate Costs Task Details Page



The subject and body fields are pre-populated with information, but are modifiable. Files can be attached to the email by pressing the Select Files button.

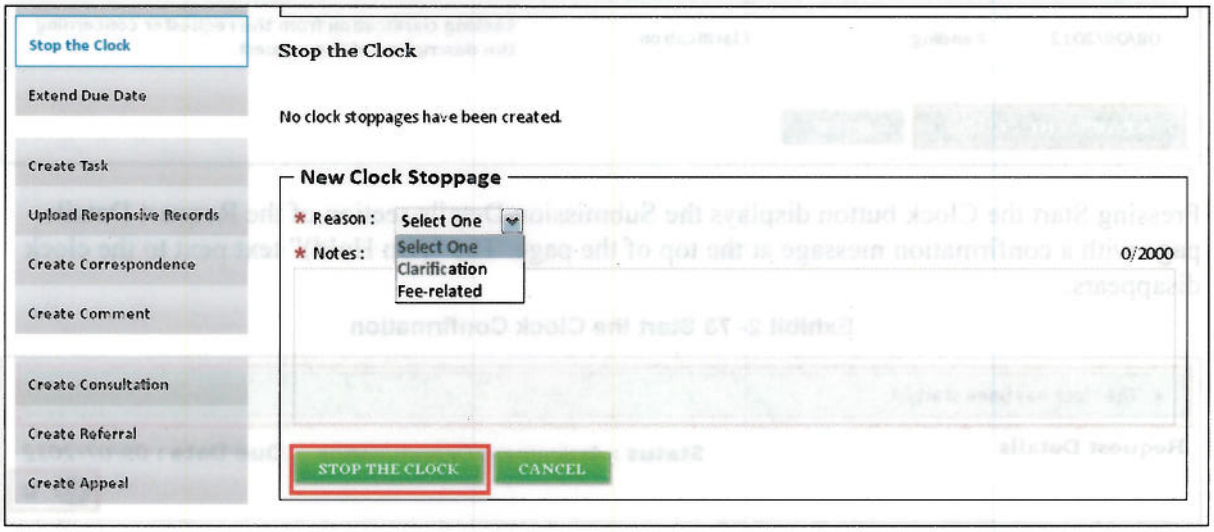
Save the task without sending it by pressing the Close Without Sending button. This saves the email, to be accessed at a future time. Send the email to the requester by pressing the Send button.

A confirmation message displays, indicating the email was sent. If the requester does not have an email address on file, then the Estimate Costs email will be sent to the agency user who can then send it to the requester. A log of the Estimate Costs email is tracked in the Case File, Correspondence sub tab.

2.5.3 Stop the Clock

Stop the Clock by clicking the Stop the Clock action from the left side actions menu. The Stop the Clock section of the Request Details page displays. Select a reason from the Reason dropdown menu and enter text into the Notes field. Press the Stop the Clock button to put a hold on the clock. The clock can only be stopped once for clarification but can be stopped multiple times for fee-related reasons.

Exhibit 2- 69 Stop the Clock



The Request Details page displays with a confirmation message and "(On Hold)" next to the number of days on the clock.

Exhibit 2- 70 Stop the Clock Confirmation

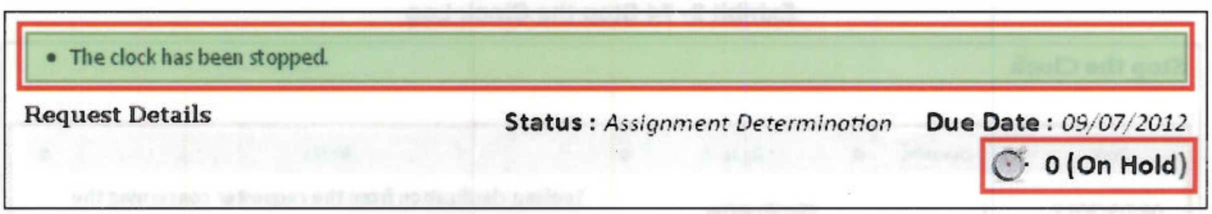
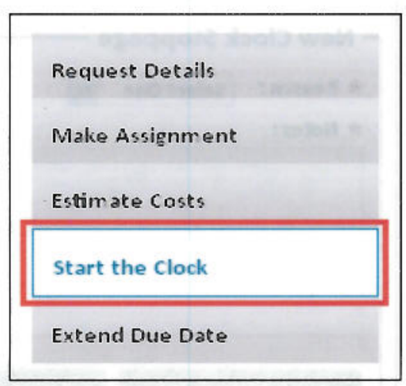


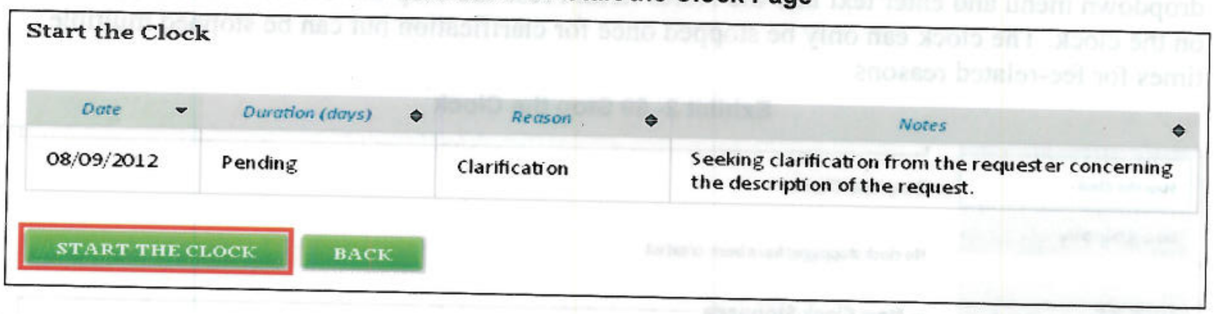
Exhibit 2- 71 Start the Clock Action

The action that was once Stop the Clock changes to Start the Clock.
Click the Start the Clock action to display the Start the Clock section of the Request Details page.



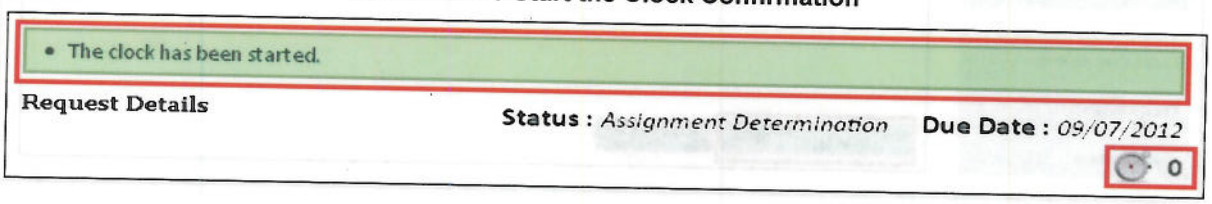
The Start the Clock page contains a summary of why the hold was placed on the request and how long it has been on hold. Take the request off of hold by pressing the Start the Clock button, as shown in Exhibit 2-72 Start the Clock Page.

Exhibit 2- 72 Start the Clock Page



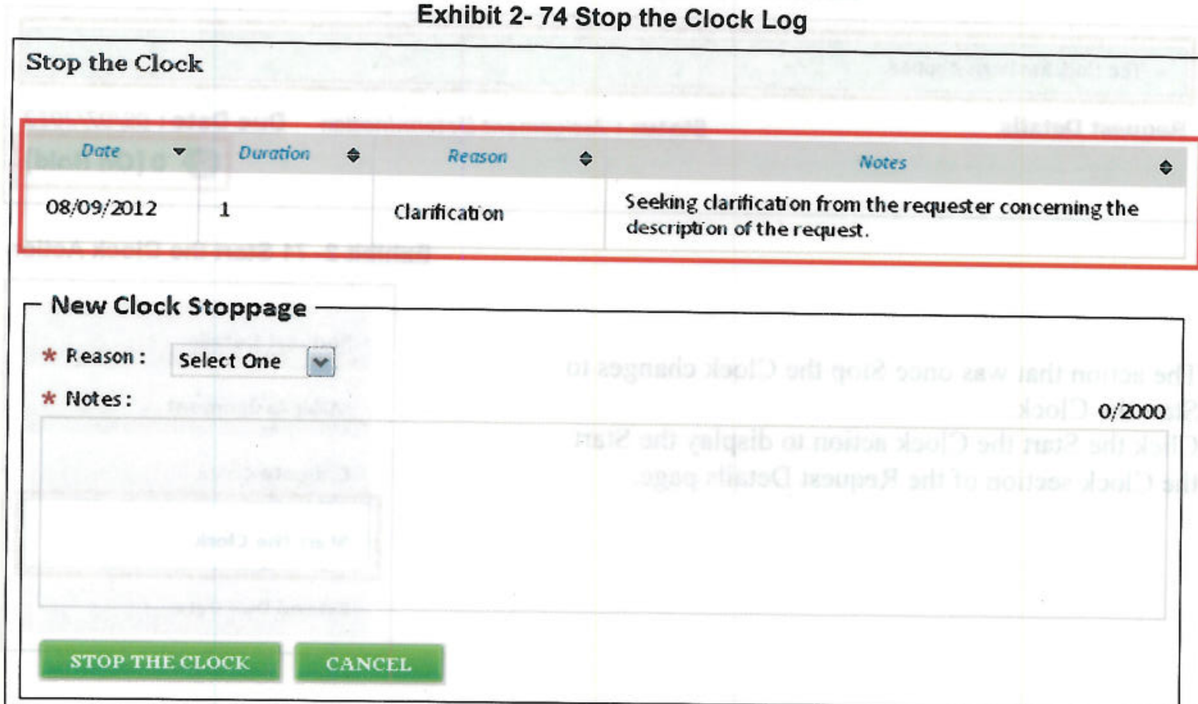
Pressing Start the Clock button displays the Submission Details section of the Request Details page with a confirmation message at the top of the page. The "(On Hold)" text next to the clock disappears.

Exhibit 2- 73 Start the Clock Confirmation



Pressing the Stop the Clock action again displays the Stop the Clock section of the Request Details page, which displays the log of all the previous times the request has been placed on hold, as is shown in Exhibit 2-74 Stop the Clock Log.

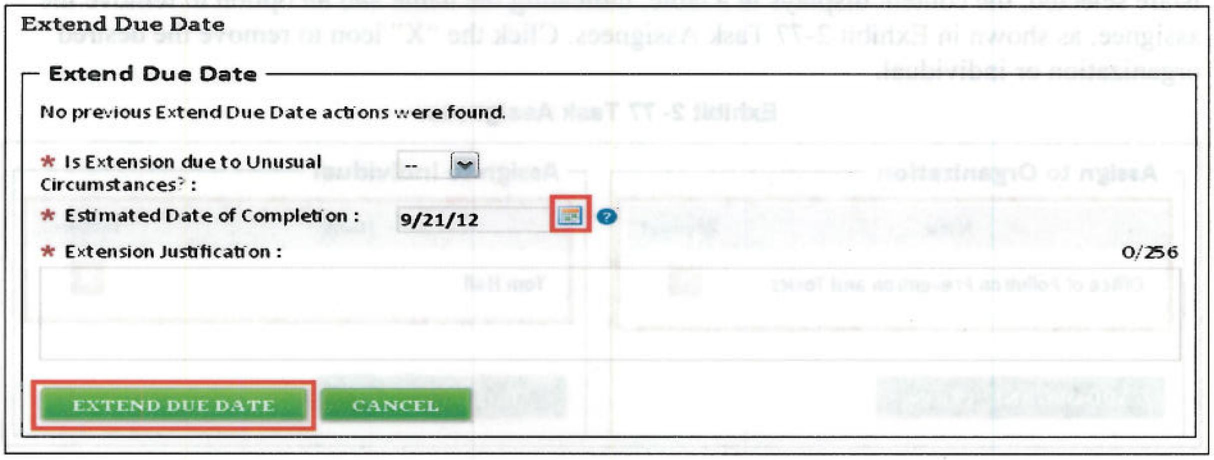
Exhibit 2- 74 Stop the Clock Log



2.5.4 Extend Due Date

Extend the due date of a request due to voluntary or involuntary circumstances by clicking the Extend Due Date action from the left side actions menu. Exhibit 2-75 Extend Due Date displays the page where a user can pick a new date for the estimated date of completion.

Exhibit 2- 75 Extend Due Date

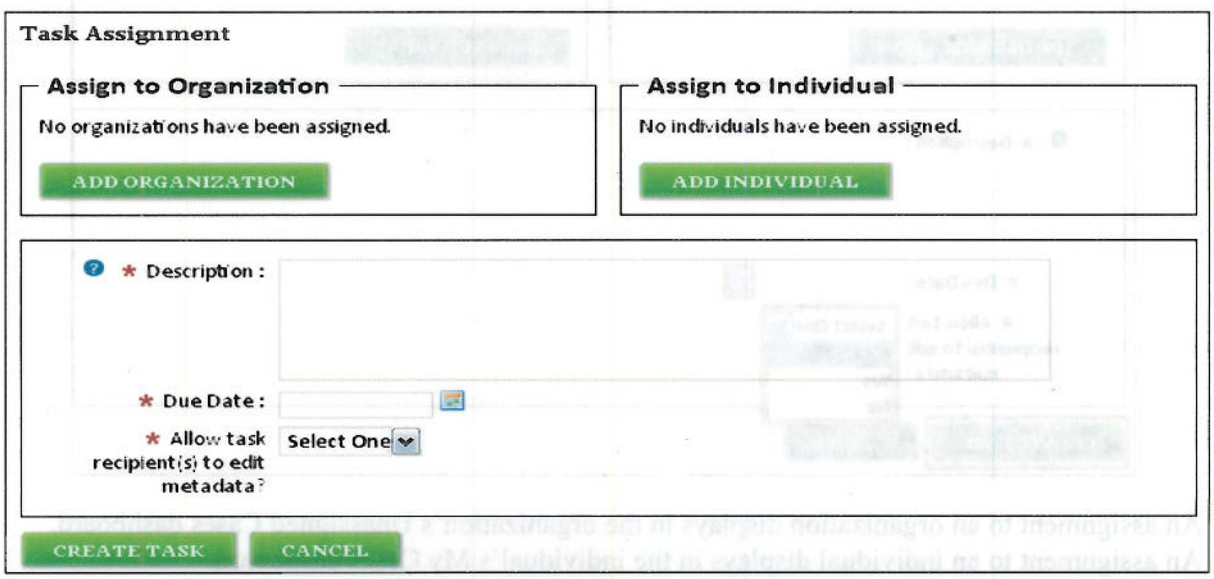


If a FOIA Professional performs this action, then an Extend Due Date task is generated for either the Coordinator or the National Team, depending on where in the structure the Professional is assigned. The Coordinator or the National Team will have to approve or deny the Extend Due Date task.

2.5.5 Create Task

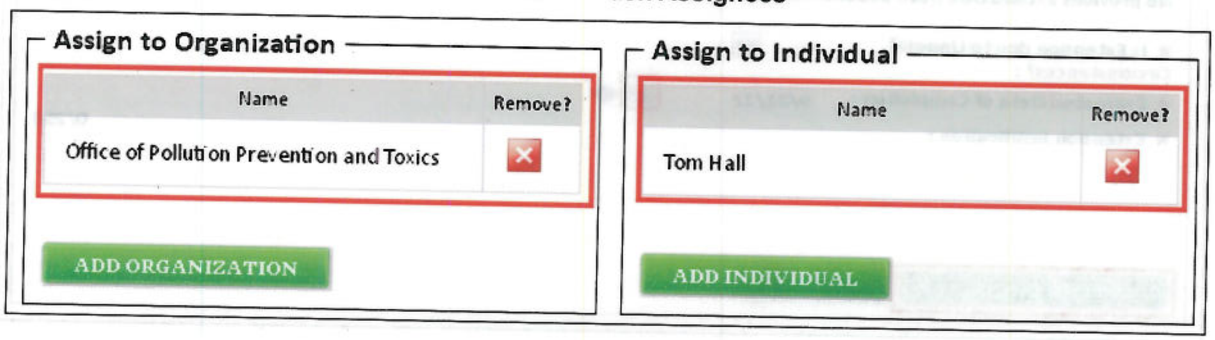
Create a task by clicking the Create Task action from the left side actions menu to display the Task Assignment page, as shown in Exhibit 2-76 Task Assignment Page. A task can be sent to multiple organizations and/or individuals. Tasks can be tracked via the Assigned Tasks tab from the Request Details page (see section 2.4.8 Assigned Tasks).

Exhibit 2- 76 Task Assignment Page



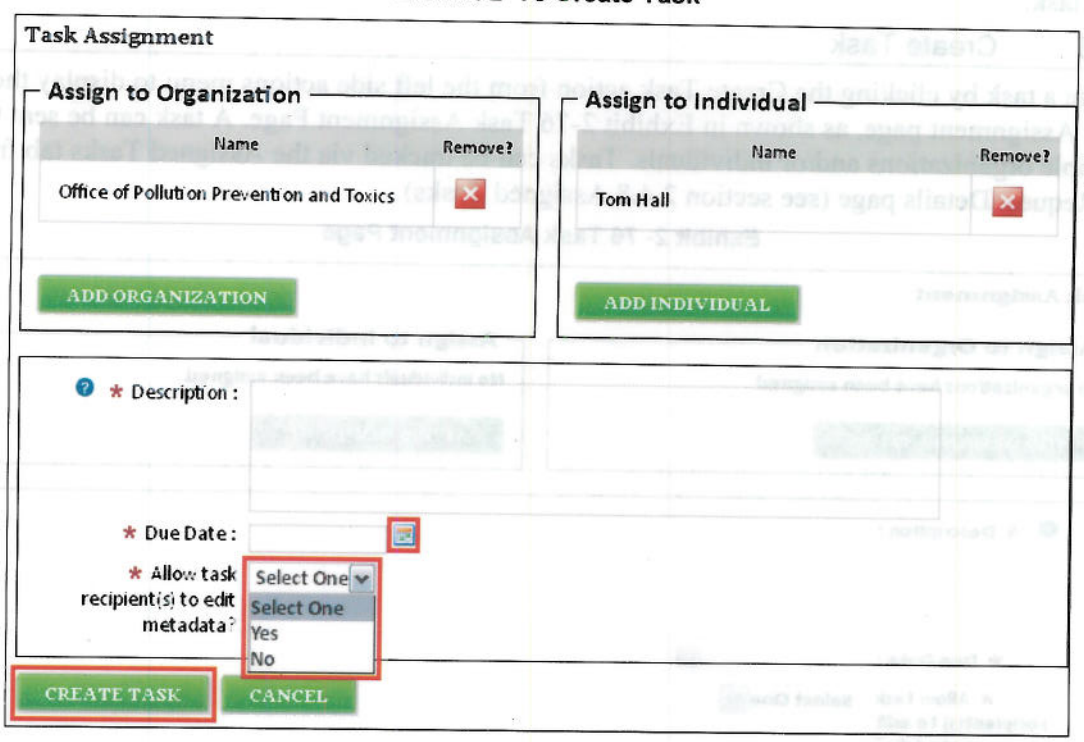
Assign organization(s) to the task by pressing the Add Organization button in the Assign to Organization section to launch the Select Organization popup (see Exhibit 2-60 Make Assignment, Select Organization). Assign an individual to the task by pressing the Add Individual button in the Assign to Individual section to launch the Select Individual popup (see Exhibit 2-62 Make Assignment, Select Individual). Once the organization and/or individual is/are selected, the content displays in a table, indicating the name and an option to remove the assignee, as shown in Exhibit 2-77 Task Assignees. Click the "X" icon to remove the desired organization or individual.

Exhibit 2- 77 Task Assignees



Enter a description of the task, click the calendar icon to choose a due date, and select an option from the "Allow task recipient(s) to edit metadata?" dropdown menu. Pressing the Create Task button sends the task assignment to the selected organization(s)/individuals(s).

Exhibit 2- 78 Create Task

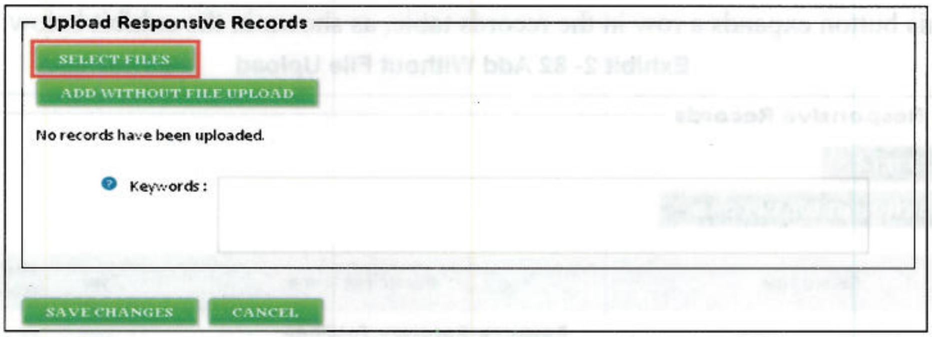


An assignment to an organization displays in the organization's Unassigned Cases dashboard. An assignment to an individual displays in the individual's My Cases dashboard.

2.5.6 Upload Responsive Records

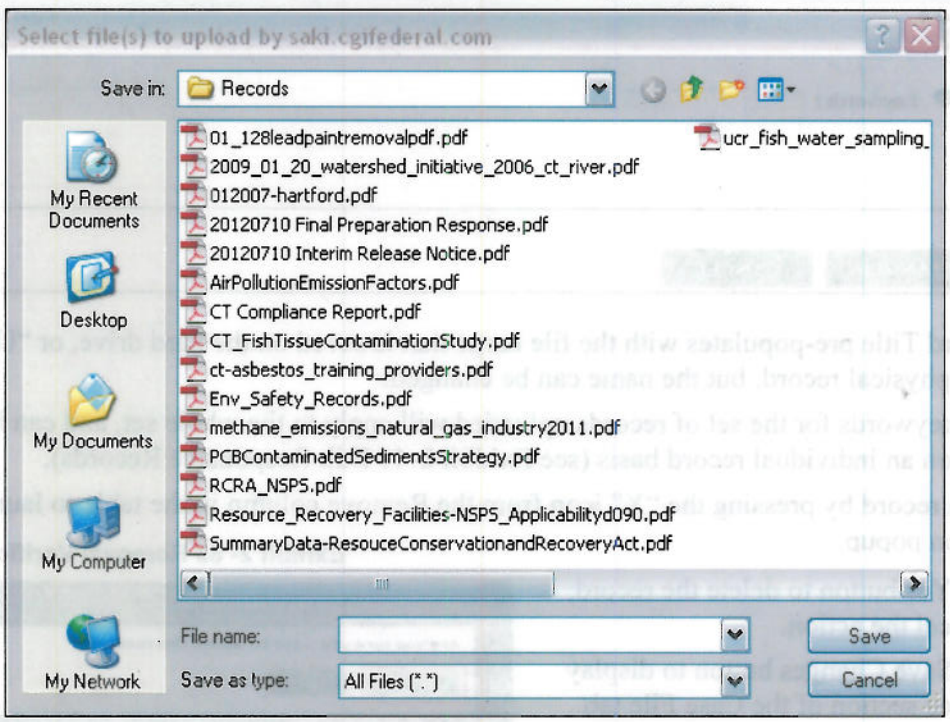
Upload records to the case file by clicking the Upload Responsive Records action from the actions menu to display the Upload Responsive Records section of the Request Details page. Files can be referenced in two ways: A file can be uploaded, or a file can be referenced only without physically attaching it to the case file.

Exhibit 2- 79 Upload Responsive Records



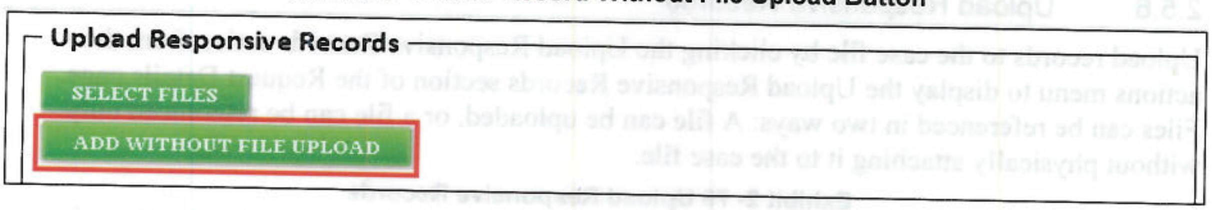
Physically upload a record by pressing the Select Files button as indicated above. This launches the file lookup, as shown below. Multiple files can be selected at one time by pressing the CTRL button on the keyboard while selecting file names.

Exhibit 2- 80 Select File(s)



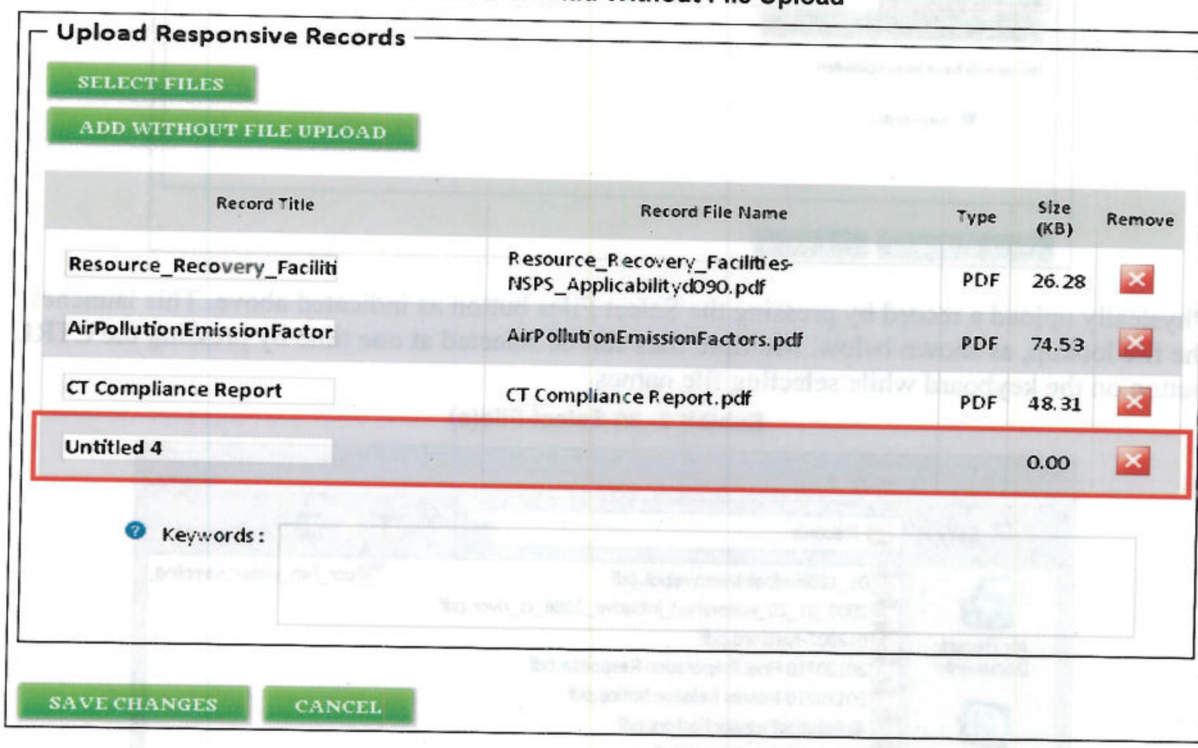
Upload file(s) without attaching a document to the case file by pressing the Add Without File Upload button.

Exhibit 2- 81 Add Record Without File Upload Button



Pressing this button expands a row in the records table, as shown in the exhibit below.

Exhibit 2- 82 Add Without File Upload

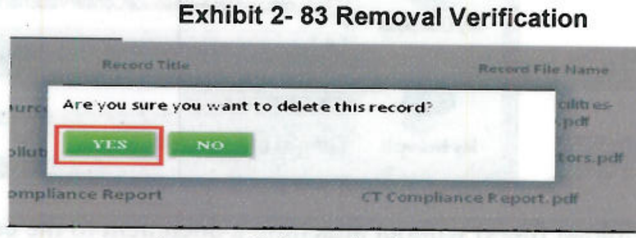


The Record Title pre-populates with the file name that is saved on the hard drive, or "Untitled #" for a non-physical record, but the name can be changed.

Entering keywords for the set of records uploaded will apply to the whole set, and can be modified on an individual record basis (see Exhibit 2-41 Edit Responsive Records).

Remove a record by pressing the "X" icon from the Remove column in the table to launch a verification popup.

Exhibit 2- 83 Removal Verification

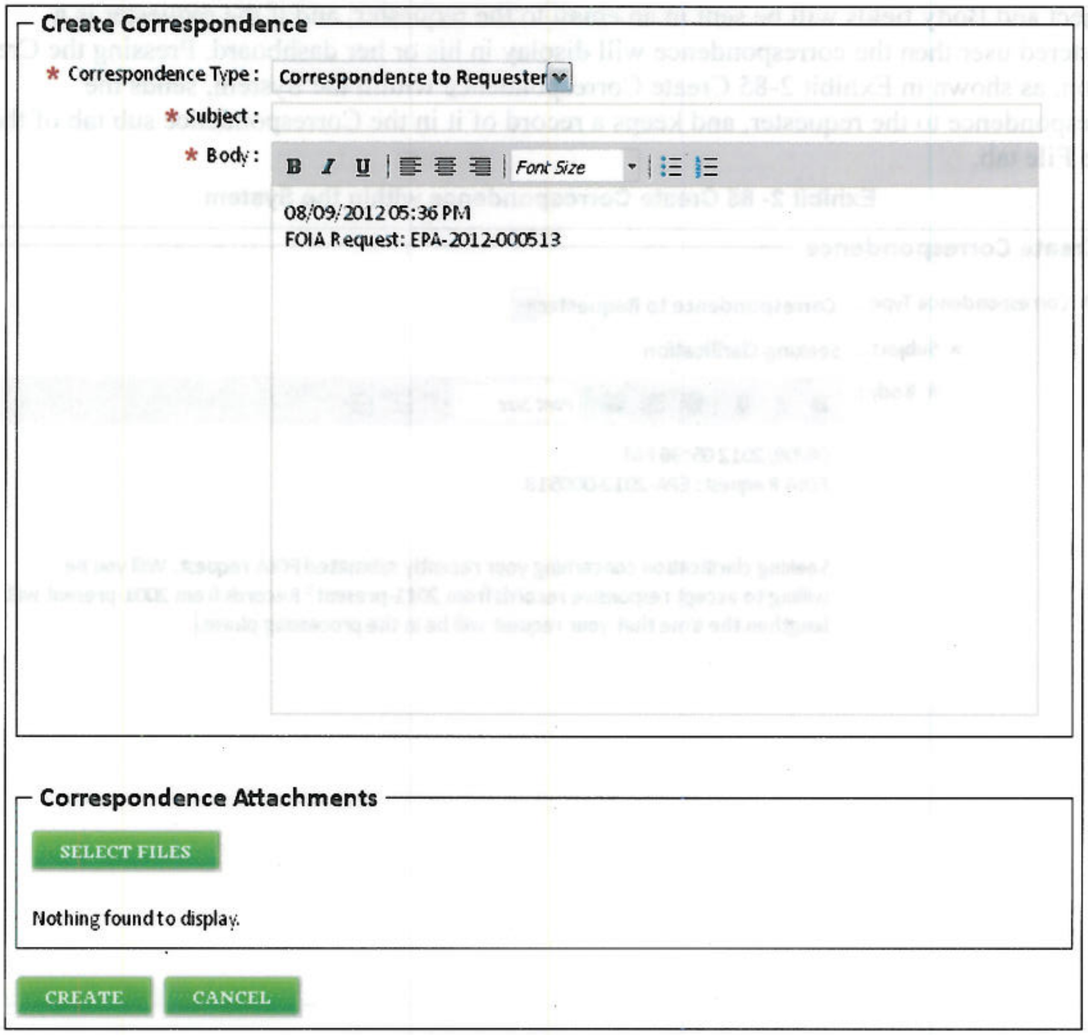


Press the Yes button to delete the record; No to cancel the action.

Press the Save Changes button to display the Records section of the Case File tab (see Exhibit 2-40 Case File, Records).

To create online correspondence or log offline correspondence, click on the Create Correspondence action from the left side actions menu to display the Create Correspondence section of the Request Details page, as shown in Exhibit 2- 40 Case File, Records.

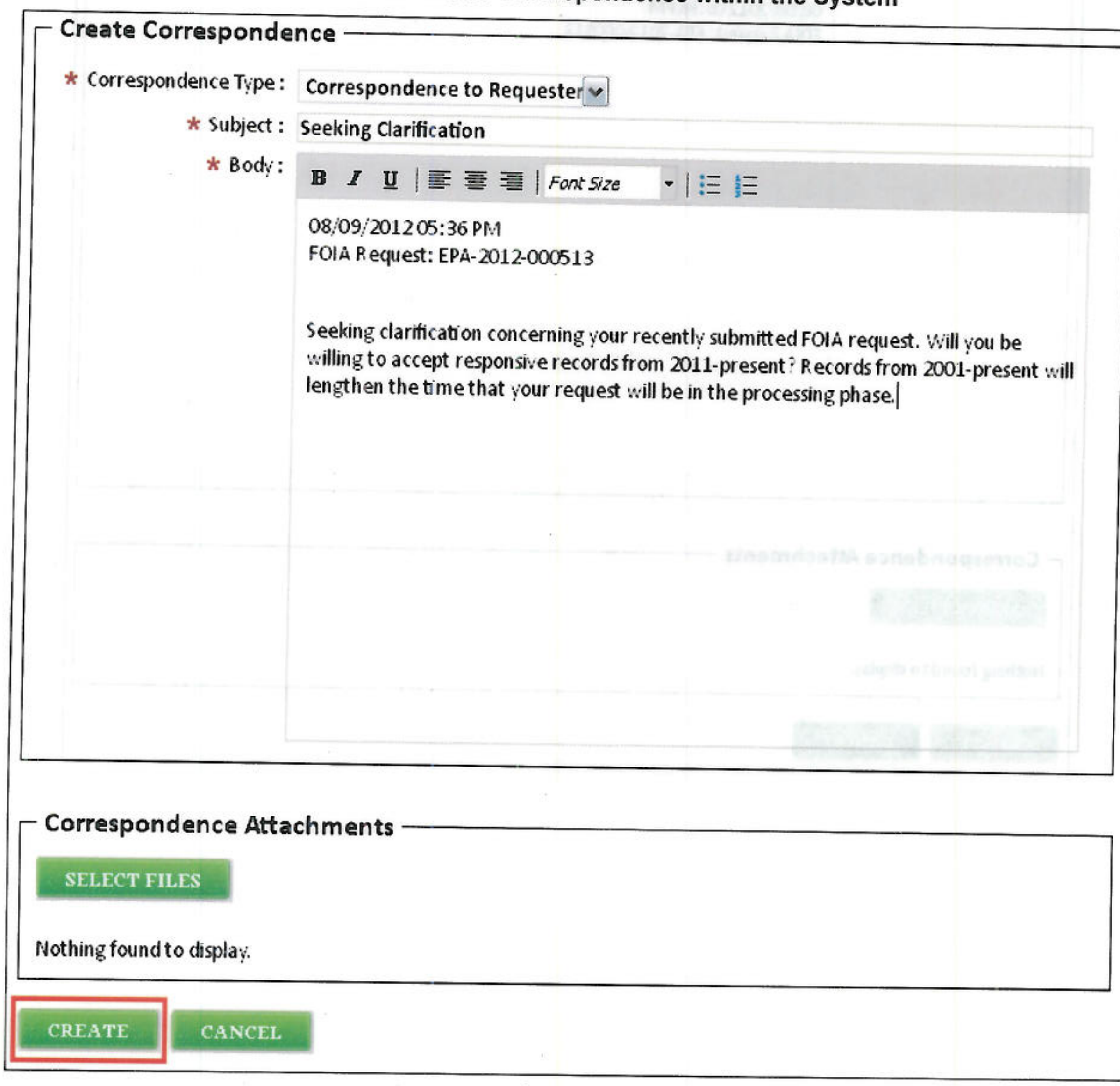
Exhibit 2- 84 Create Correspondence Page



Create Correspondence within the System

Correspondence to Requester is the default Correspondence Type. The text that is entered in the Subject and Body fields will be sent in an email to the requester, and if the requester is a registered user then the correspondence will display in his or her dashboard. Pressing the Create button, as shown in Exhibit 2-85 Create Correspondence within the System, sends the correspondence to the requester, and keeps a record of it in the Correspondence sub tab of the Case File tab.

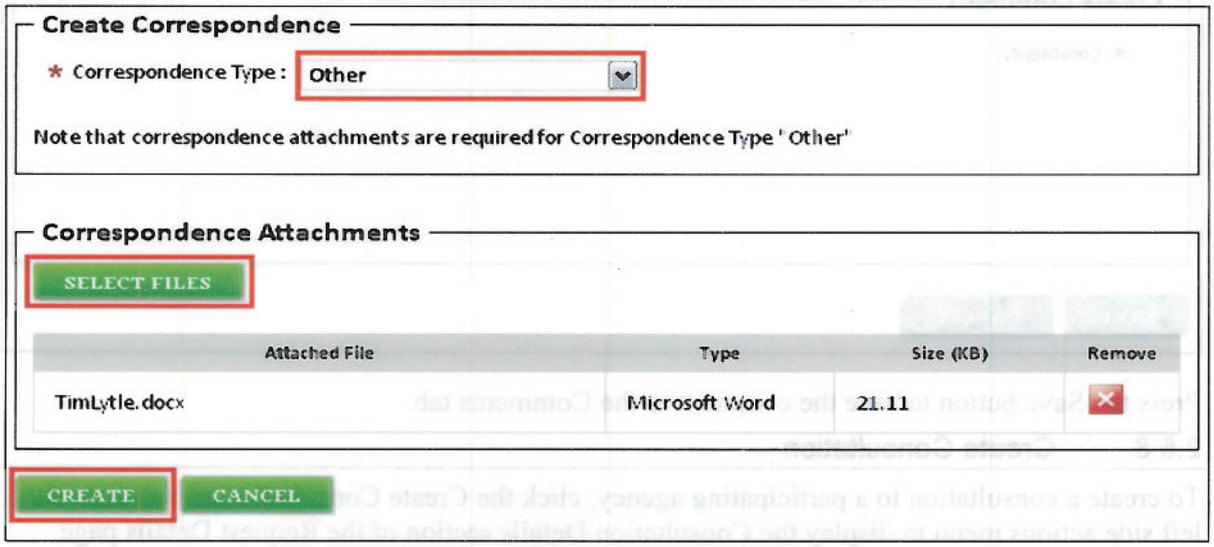
Exhibit 2- 85 Create Correspondence within the System



Offline Correspondence

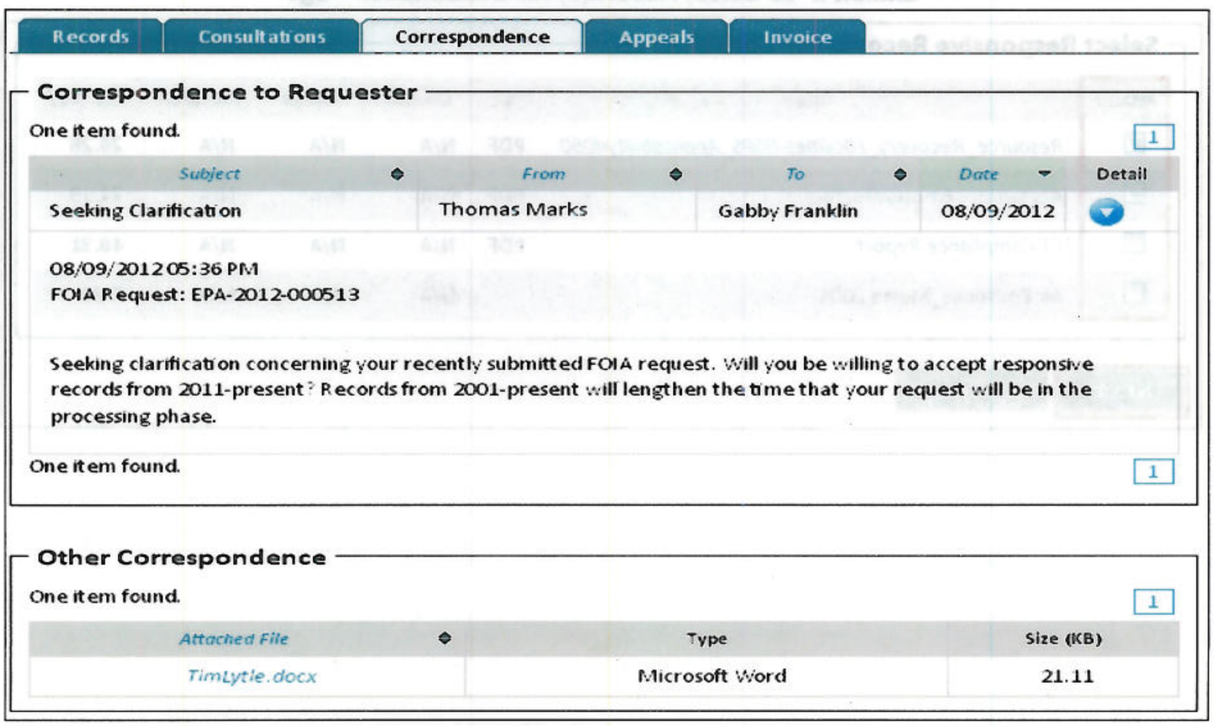
To capture correspondence that occurred offline (e.g., telephone conversation), a document can be uploaded via the Other Correspondence Type function, as shown in Exhibit 2-86 Create Offline Correspondence.

Exhibit 2- 86 Create Offline Correspondence



At least one attachment is required when creating "Other" correspondence. Pressing the Create button commits the addition and logs the file in the Correspondence sub tab of the Case File tab, as shown in Exhibit 2-87 Correspondence Sub Tab.

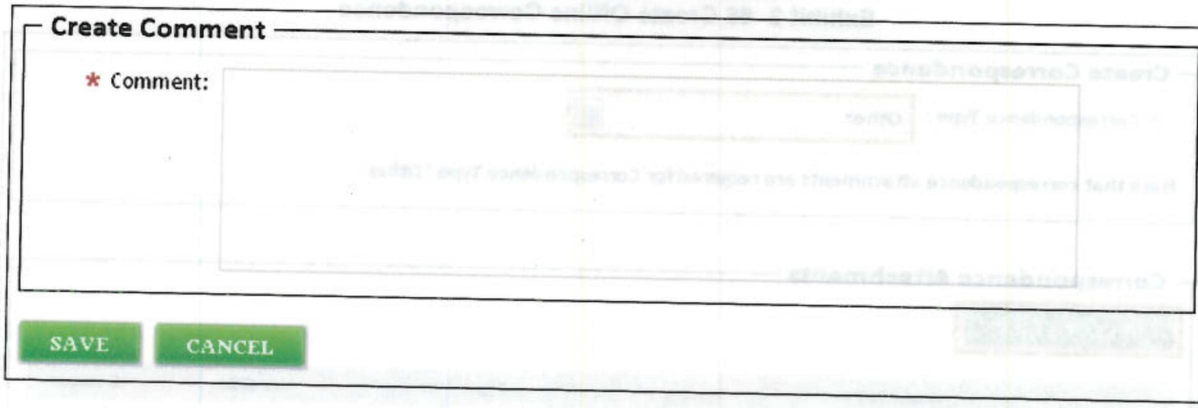
Exhibit 2- 87 Correspondence Sub Tab



2.5.7 Create Comment

Create a comment to log in the Comments tab by clicking the Create Comment action in the left side action menu to display the Create Comment section of the Request Details page.

Exhibit 2- 88 Create Comment

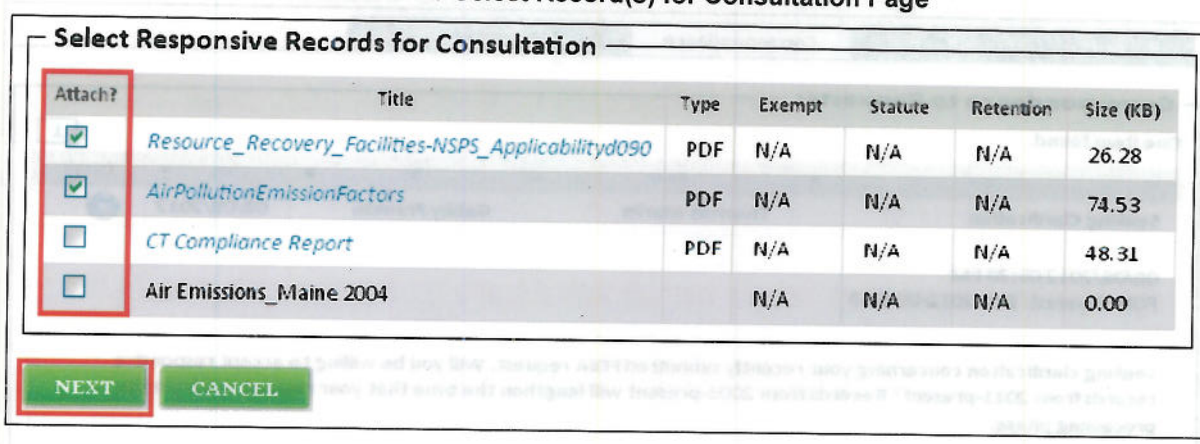


Press the Save button to save the comment to the Comments tab.

2.5.8 Create Consultation

To create a consultation to a participating agency, click the Create Consultation action from the left side actions menu to display the Consultation Details section of the Request Details page, shown in Exhibit 2-89 Select Record(s) for Consultation Page. Creating a consultation is a two-page process; the first page is selecting the record(s) for the consultation. Check the checkbox of the selected record(s) to consult and press the Next button. When multiple records are selected a separate consultation is created for each record.

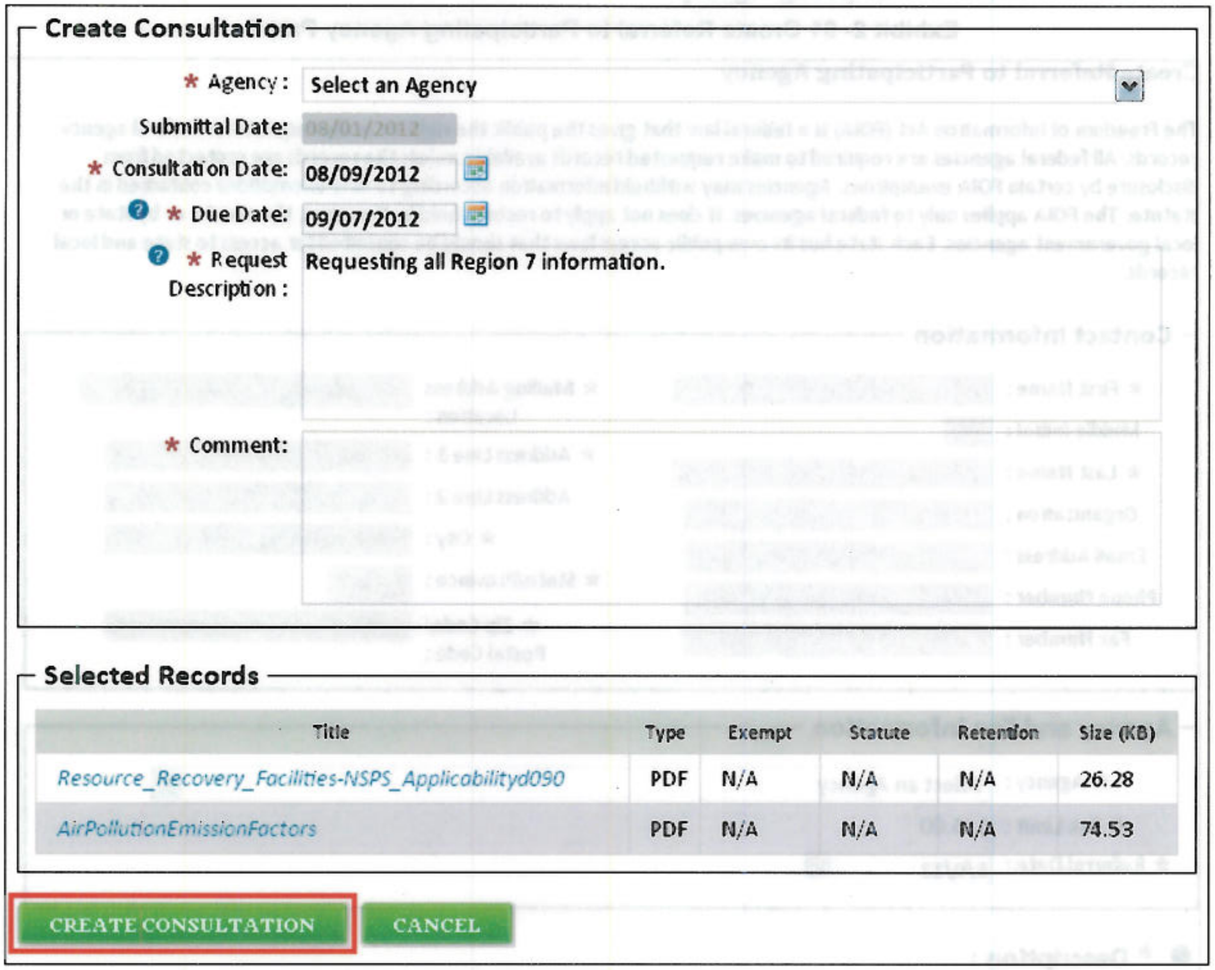
Exhibit 2- 89 Select Record(s) for Consultation Page


Select Responsive Records for Consultation

Attach?	Title	Type	Exempt	Statute	Retention	Size (KB)
☑	Resource_Recovery_Facilities-NSPS_Applicabilityd090	PDF	N/A	N/A	N/A	26.28
☑	AirPollutionEmissionFactors	PDF	N/A	N/A	N/A	74.53
☐	CT Compliance Report	PDF	N/A	N/A	N/A	48.31
☐	Air Emissions_Maine 2004		N/A	N/A	N/A	0.00

Page 2 of the Create Consultation process is selecting the agency to send the consultation, reviewing the due date, and adding comments, as shown in Exhibit 2-90 Create Consultation Page. Press the Create Consultation button to send the consultation to the participating agency.

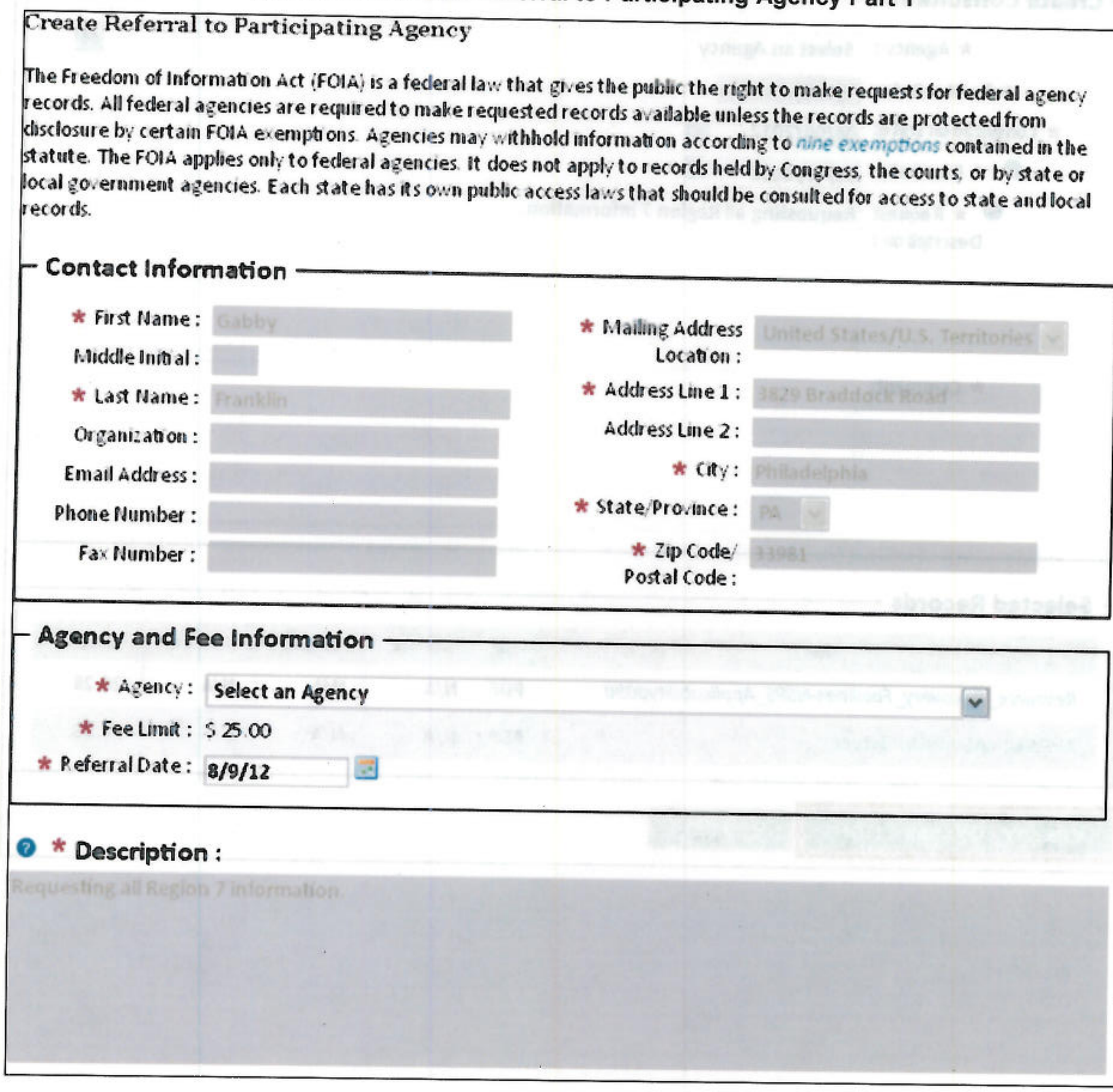
Exhibit 2- 90 Create Consultation Page



2.5.9 Create Referral

Create a referral to a participating agency by clicking the Create Referral action from the left side actions menu to display the Create Referral to Participating Agency page, as shown in Exhibit 2-91 Create Referral to Participating Agency.

Exhibit 2- 91 Create Referral to Participating Agency Part 1


Create Referral to Participating Agency

The Freedom of Information Act (FOIA) is a federal law that gives the public the right to make requests for federal agency records. All federal agencies are required to make requested records available unless the records are protected from disclosure by certain FOIA exemptions. Agencies may withhold information according to nine exemptions contained in the statute. The FOIA applies only to federal agencies. It does not apply to records held by Congress, the courts, or by state or local government agencies. Each state has its own public access laws that should be consulted for access to state and local records.

Contact Information

* First Name : Gabby
Middle Initial :
* Last Name : Franklin
Organization :
Email Address :
Phone Number :
Fax Number :
* Mailing Address Location : United States/U.S. Territories
* Address Line 1 : 3829 Braddock Road
Address Line 2 :
* City : Philadelphia
* State/Province : PA
* Zip Code/ Postal Code : 33981

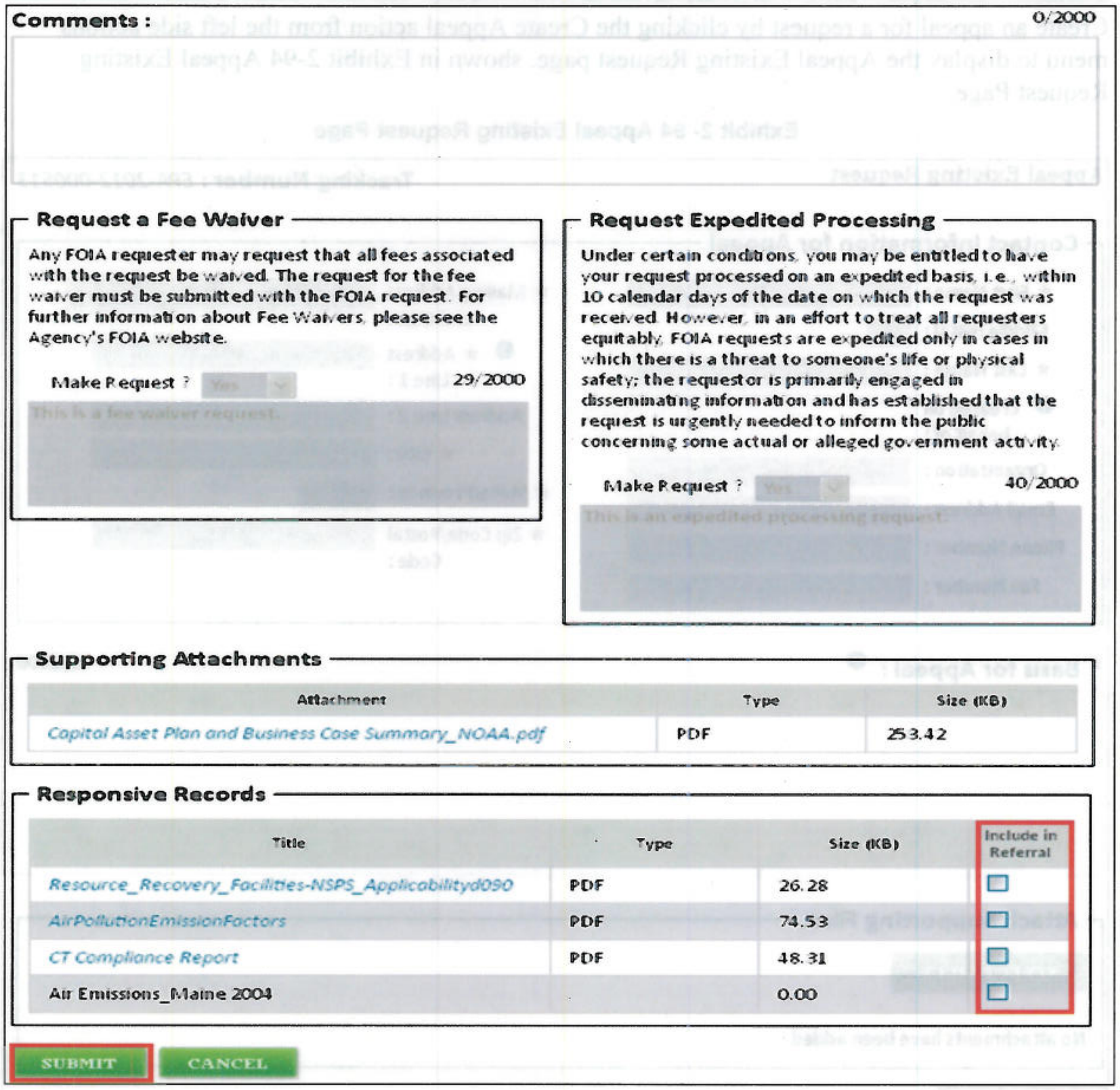
Agency and Fee Information

* Agency : Select an Agency
* Fee Limit : $ 25.00
* Referral Date : 8/9/12

* Description :

Requesting all Region 7 information.

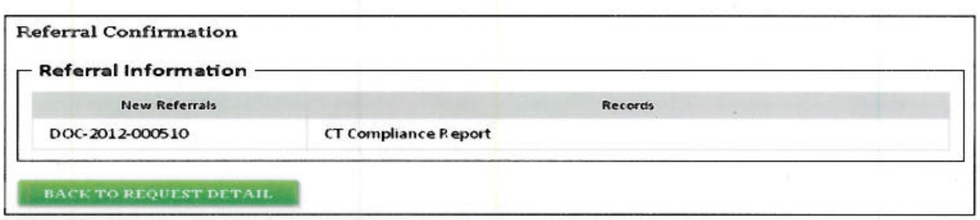
Exhibit 2- 92 Create Referral to Participating Agency Part 2



Select the checkboxes of the records to refer to a participating agency; only one referral can be created per record, so if multiple records are selected then multiple referrals will be created.

Press the Submit button to view the Confirmation page, shown in Exhibit 2-93 Referral Confirmation.

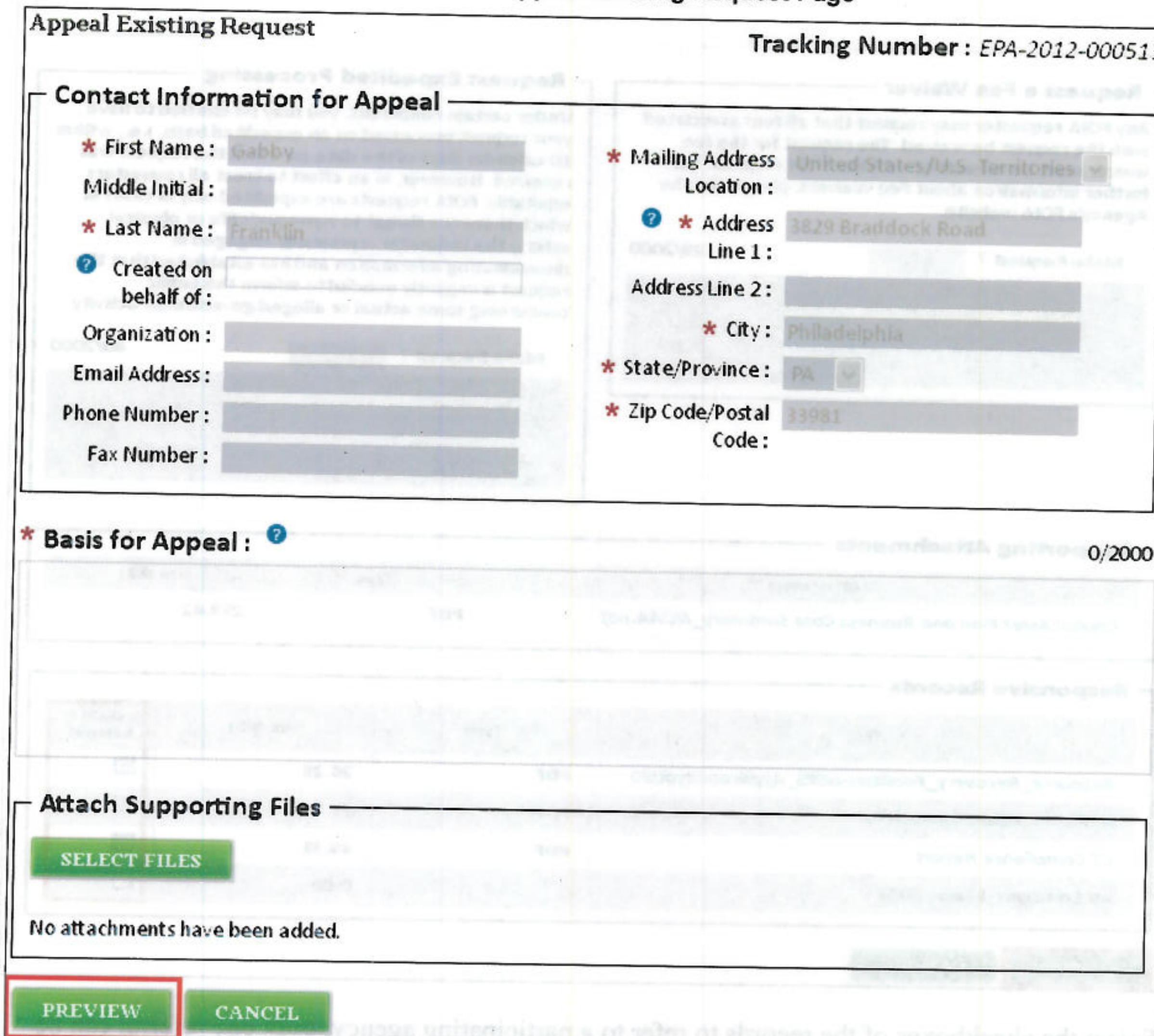
Exhibit 2- 93 Referral Confirmation



2.5.10 Create Appeal

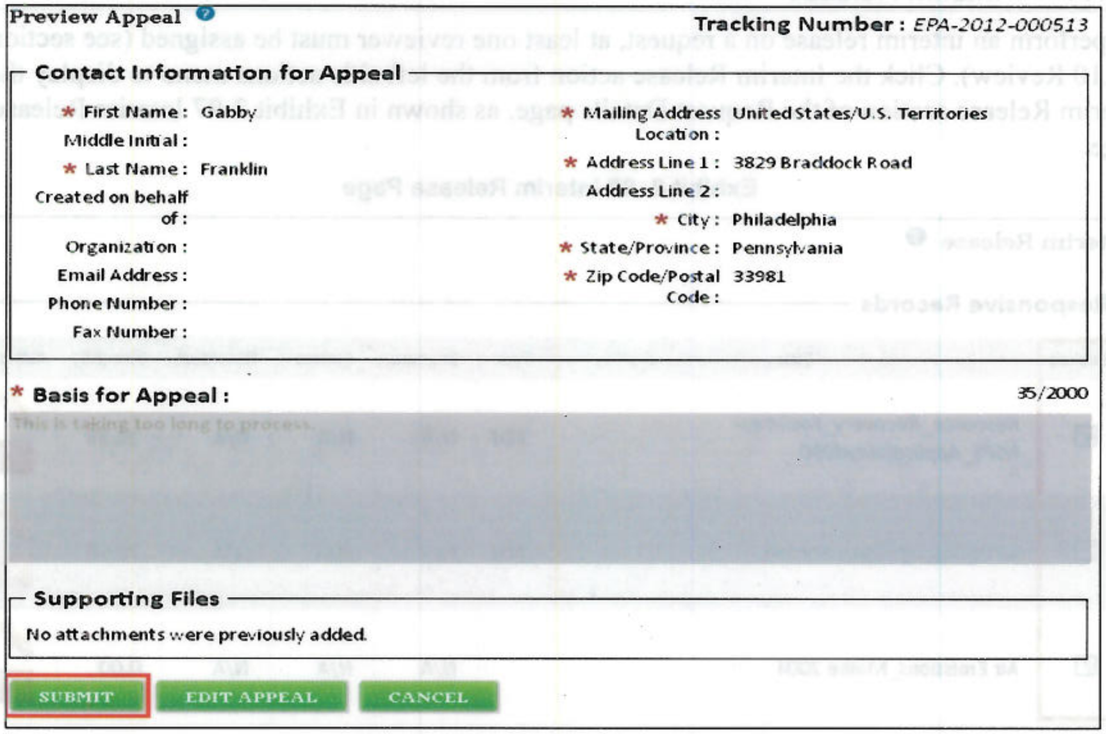
Create an appeal for a request by clicking the Create Appeal action from the left side actions menu to display the Appeal Existing Request page, shown in Exhibit 2-94 Appeal Existing Request Page.

Exhibit 2- 94 Appeal Existing Request Page



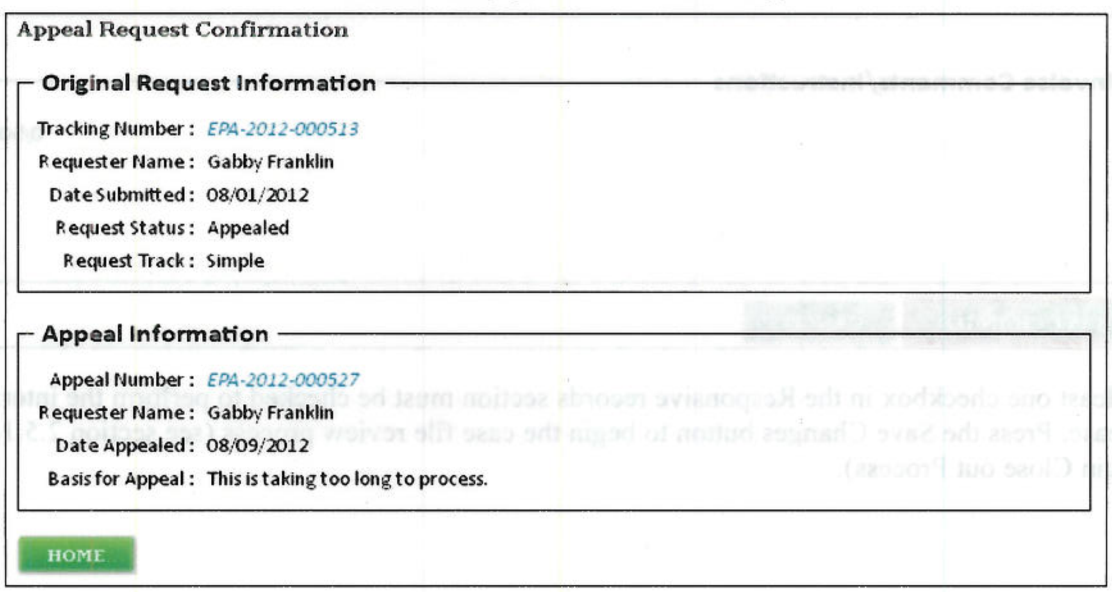
Press the Preview button to preview the appeal before final submission, as shown in the Exhibit above.

Exhibit 2- 95 Preview Appeal Page



Press the Submit button to create the appeal and to view the Appeal Confirmation page, as shown in Exhibit 2-95 Preview Appeal Page.

Exhibit 2- 96 Appeal Confirmation Page

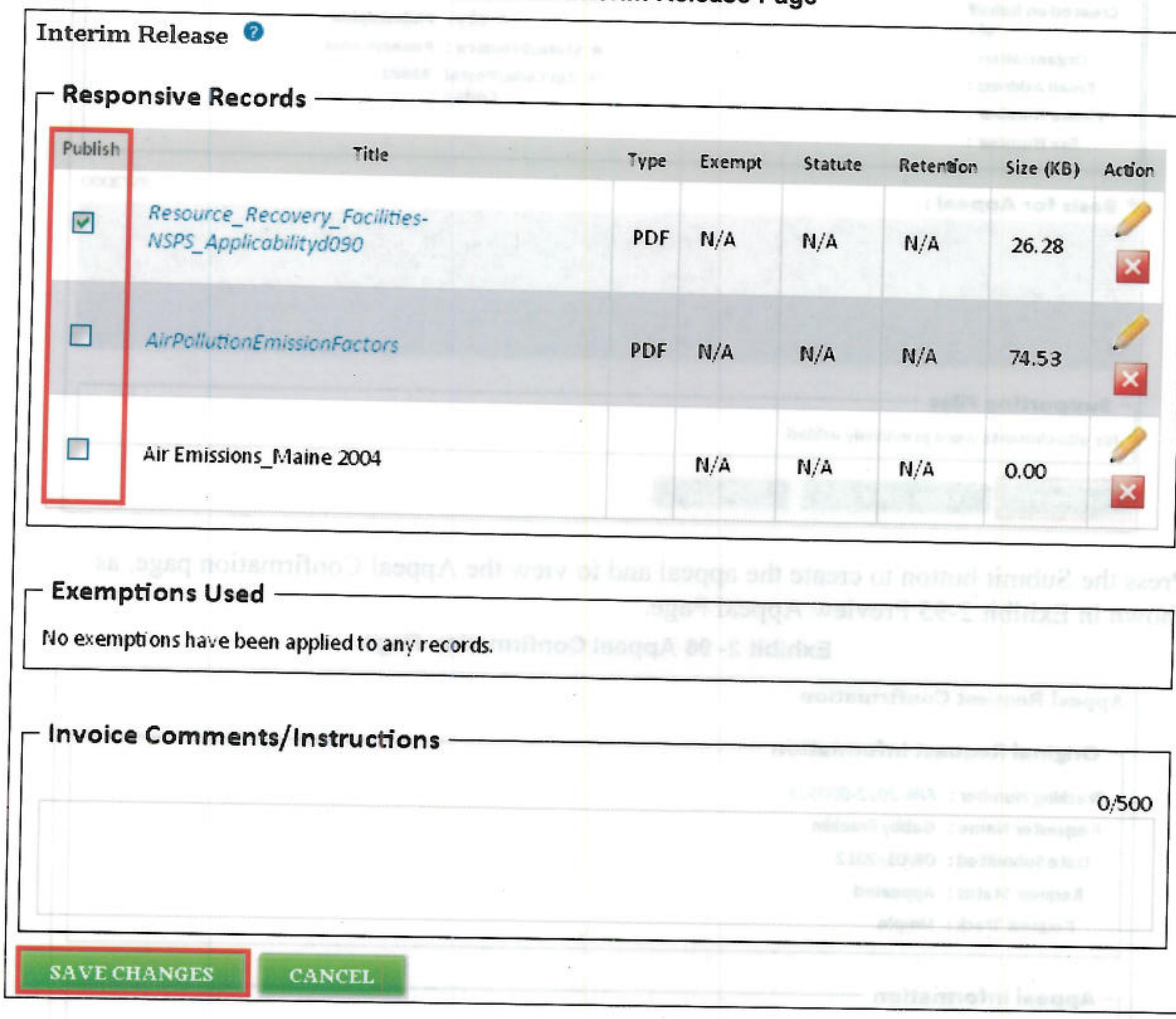


The original request information displays as well as the appeal information. Clicking on the Appeal Number takes the user to the Appeal Details page, if the user has the appropriate permissions.

2.5.11 Interim Release

To perform an interim release on a request, at least one reviewer must be assigned (see section 2.4.10 Review). Click the Interim Release action from the left side actions menu to display the Interim Release section of the Request Details page, as shown in Exhibit 2-97 Interim Release Page.

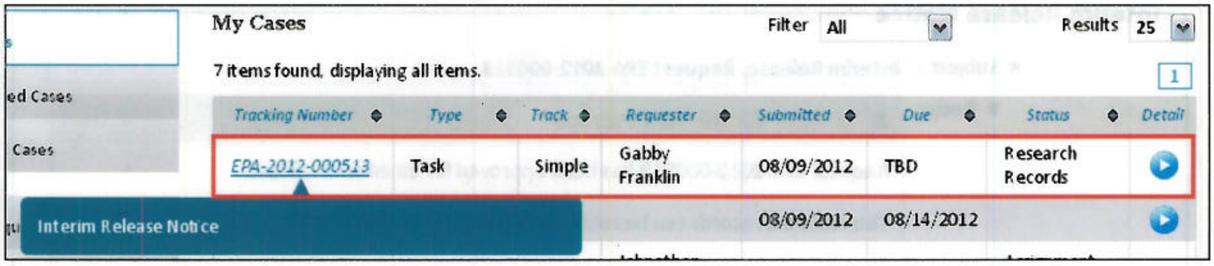
Exhibit 2- 97 Interim Release Page



At least one checkbox in the Responsive records section must be checked to perform the interim release. Press the Save Changes button to begin the case file review process (see section 2.5.14 Begin Close out Process).

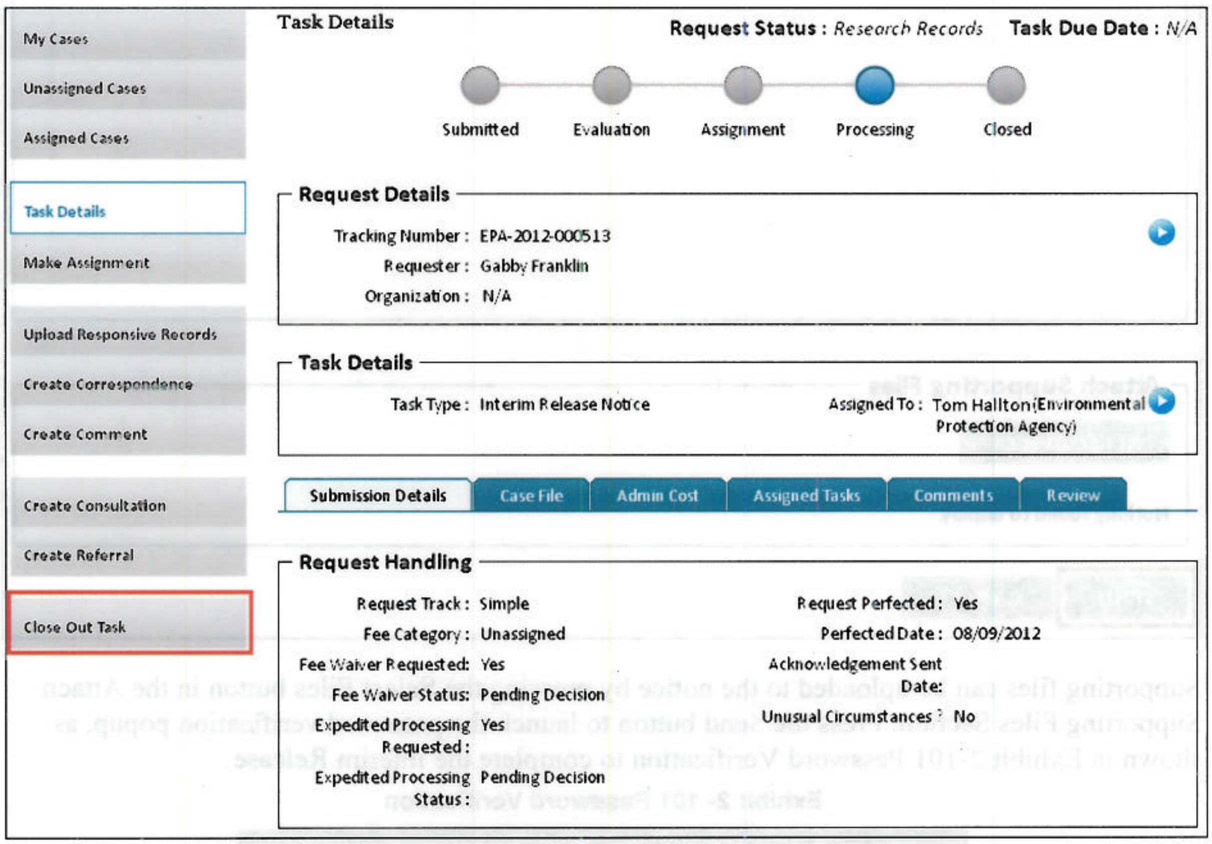
Once the case file review is complete, an Interim Release Notice task is generated in the assignee's My Cases dashboard, shown in Exhibit 2-98 Interim Release Notice Dashboard.

Exhibit 2- 98 Interim Release Notice Dashboard



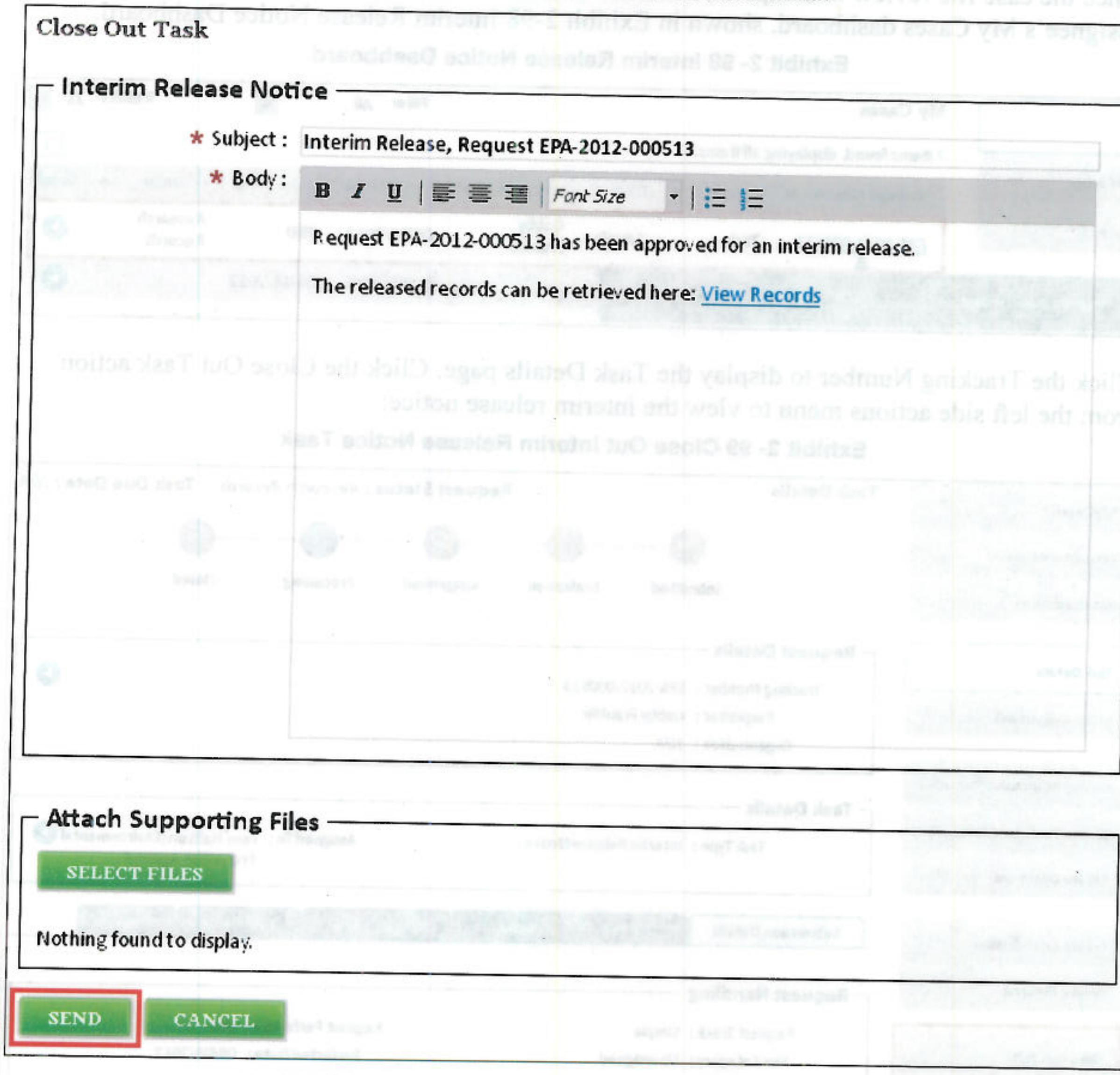
Click the Tracking Number to display the Task Details page. Click the Close Out Task action from the left side actions menu to view the interim release notice:

Exhibit 2- 99 Close Out Interim Release Notice Task



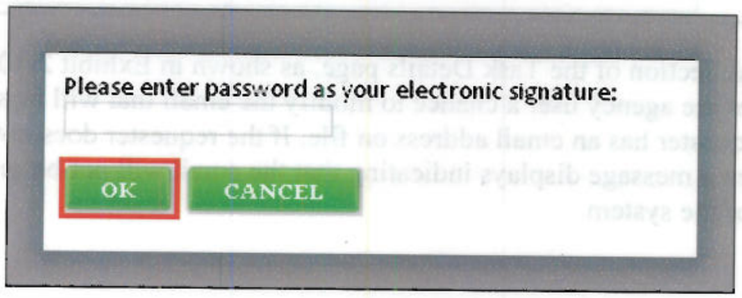
The Close Out Task section of the Task Details page, as shown in Exhibit 2-100 Interim Release Notice Email, gives the agency user a chance to modify the email that will be sent to the requester, if the requester has an email address on file. If the requester does not have an email address on file, then a message displays indicating that the email will not be sent and must be delivered outside of the system.

Exhibit 2- 100 Interim Release Notice Email



Supporting files can be uploaded to the notice by pressing the Select Files button in the Attach Supporting Files Section. Press the Send button to launch the password verification popup, as shown in Exhibit 2-101 Password Verification to complete the Interim Release.

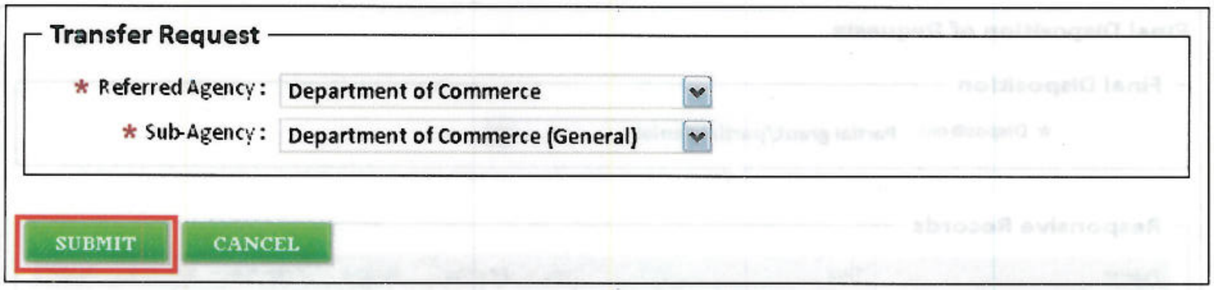
Exhibit 2- 101 Password Verification



2.5.12 Transfer Request

Transfer a request to a participating agency by clicking the Transfer Request link from the left side actions menu to display the Transfer Request section of the Request Details page, as shown in Exhibit 2-102 Transfer Request to Participating Agency.

Exhibit 2- 102 Transfer Request to Participating Agency

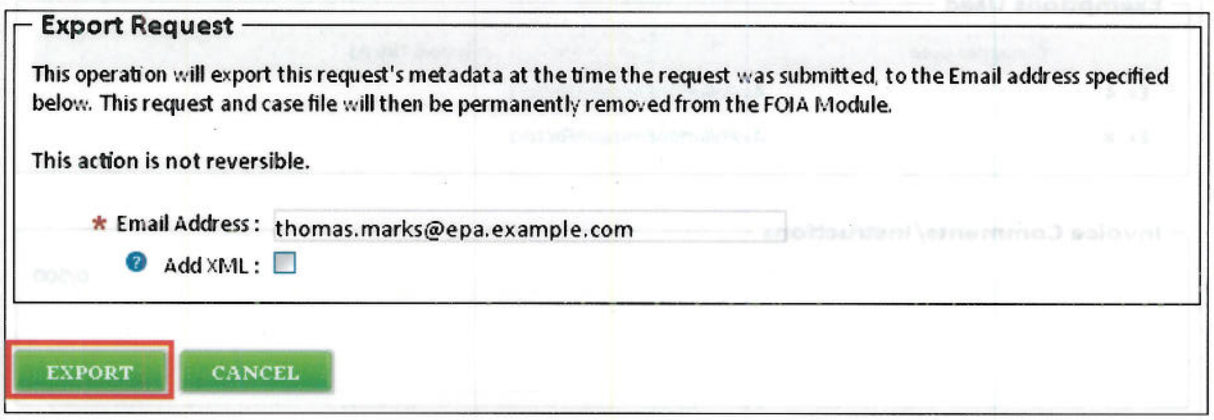


Press the Submit button to complete the request transfer.

2.5.13 Export Request

The Export Request action permanently removes the request and all associated tasks from the FOIA application so that none of the data displays in the reports. Click the Export Request action from the left side actions menu to display the Export Request section of the Request Details page, as shown in Exhibit 2-103 Export Request. This action is intended to be used for Privacy Act requests, which are not supposed to be entered in the system, nor counted for the annual report.

Exhibit 2- 103 Export Request

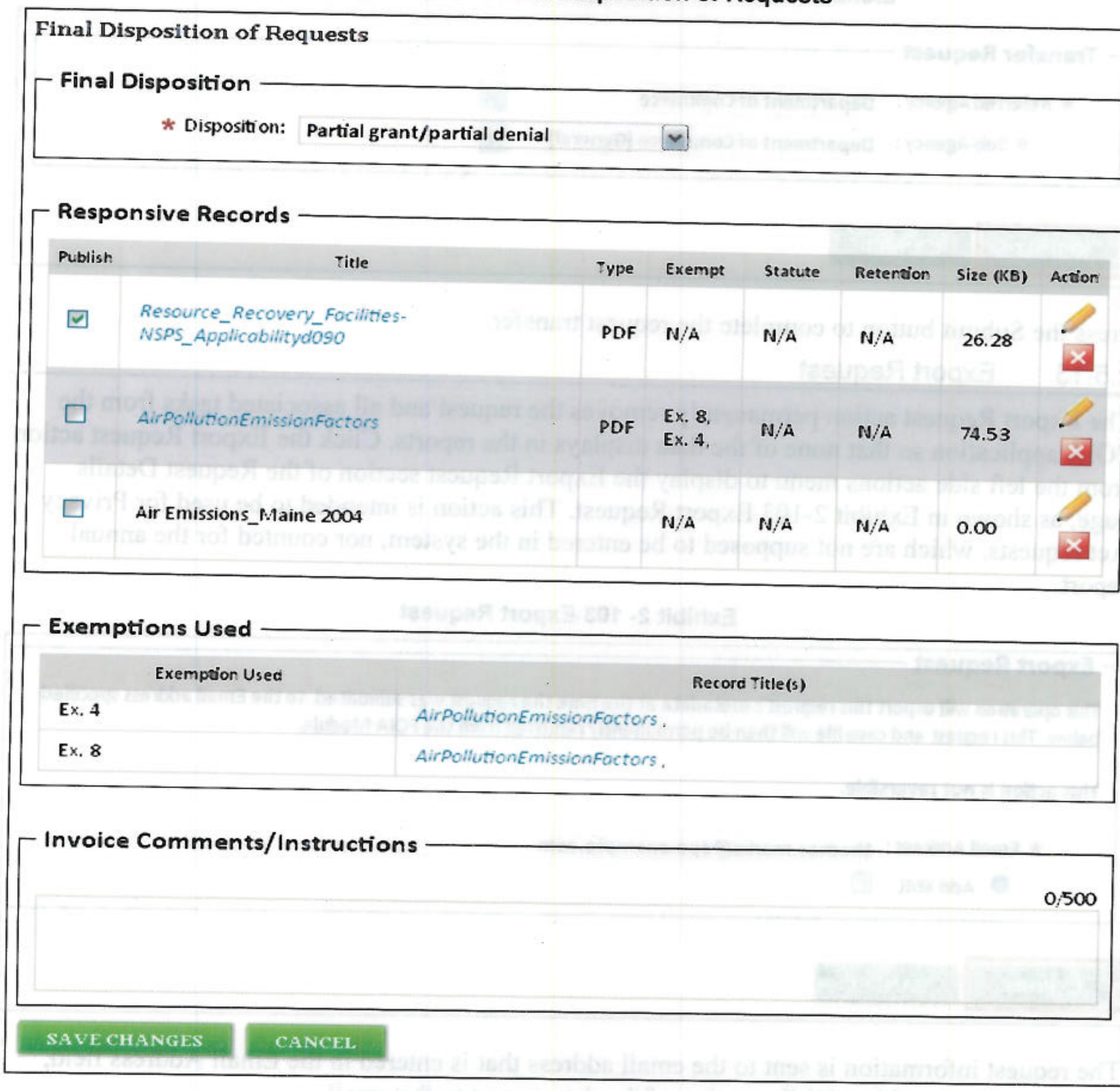


The request information is sent to the email address that is entered in the Email Address field, with an option to add an XML version of the data export to the email.

2.5.14 Begin Close out Process

Begin closing out a request by clicking the Begin Close Out Process action from the left side actions menu to display the Final Disposition of Requests section of the Request Details page, shown in Exhibit 2-104 Final Disposition of Requests.

Exhibit 2- 104 Final Disposition of Requests



Click the pencil icon in the Responsive Records table to display the Edit Responsive Records page. Records can be quickly marked or unmarked for publishing by checking the Publish checkbox in the Responsive Records table.

The Exemptions Used table contains a summary of the exemptions applied on each record.

Select a disposition from the Disposition dropdown menu and press the Save Changes button. A confirmation message displays and indicates the case file review task has been sent to the first reviewer to begin the review process.

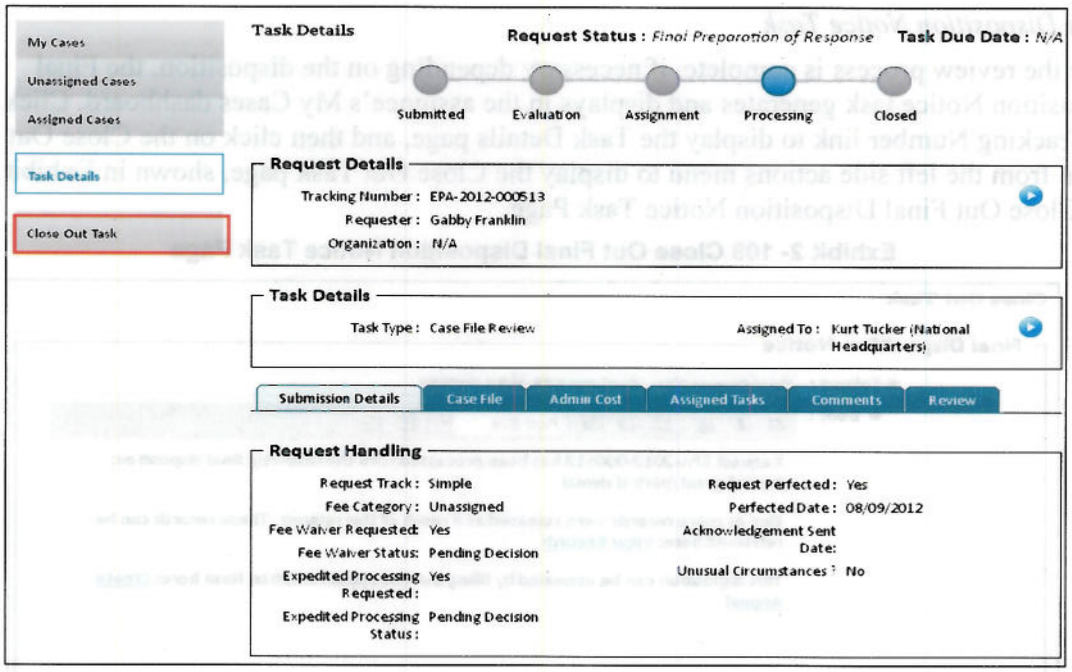
At least one reviewer, other than the assigned user, must be assigned in the Review tab on the Request Details page in order to close a request, with the exception of the following dispositions: Request withdrawn, Fee-related reason, Records not reasonably described, Not an agency record, and Duplicate request.

Any text entered in the Invoice Comments/Instructions section populates on the invoice. This section is intended for any additional information the requester needs to complete their FOIA payment.

Review Process

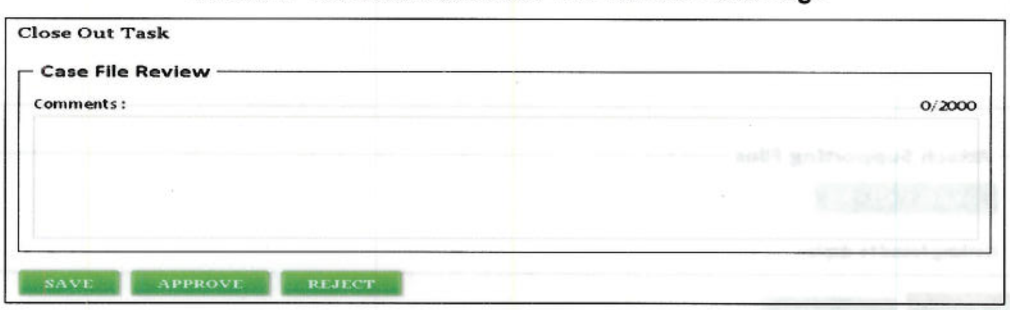
When a disposition is set, the case file review process begins. A Case File Review task generates and displays in the My Cases dashboard of the first reviewer. Click on the Tracking Number link to display the Task Details page as shown below. The Case File Review task allows the user to navigate through the entire case file in a read-only view.

Exhibit 2- 105 Task Details Page



Click the Close Out Task action in the left side actions menu to display the Close Out Task page.

Exhibit 2- 106 Close Out Case File Review Task Page



Enter text and press the Save button to be able to return to the task. Press the Approve button to either send the review to the next assigned reviewer, or generate the Final Disposition Notice task to the assignee. Press the Reject button to halt the review process and require the assignee modify the request. If a Case File Review task is rejected, the Comments field is required.

The status of each Case File Review task displays in the Review tab, as shown in Exhibit 2-107 Review Status. Clicking on the Review Outcome link displays the Task Details page in a read-only view.

Exhibit 2- 107 Review Status

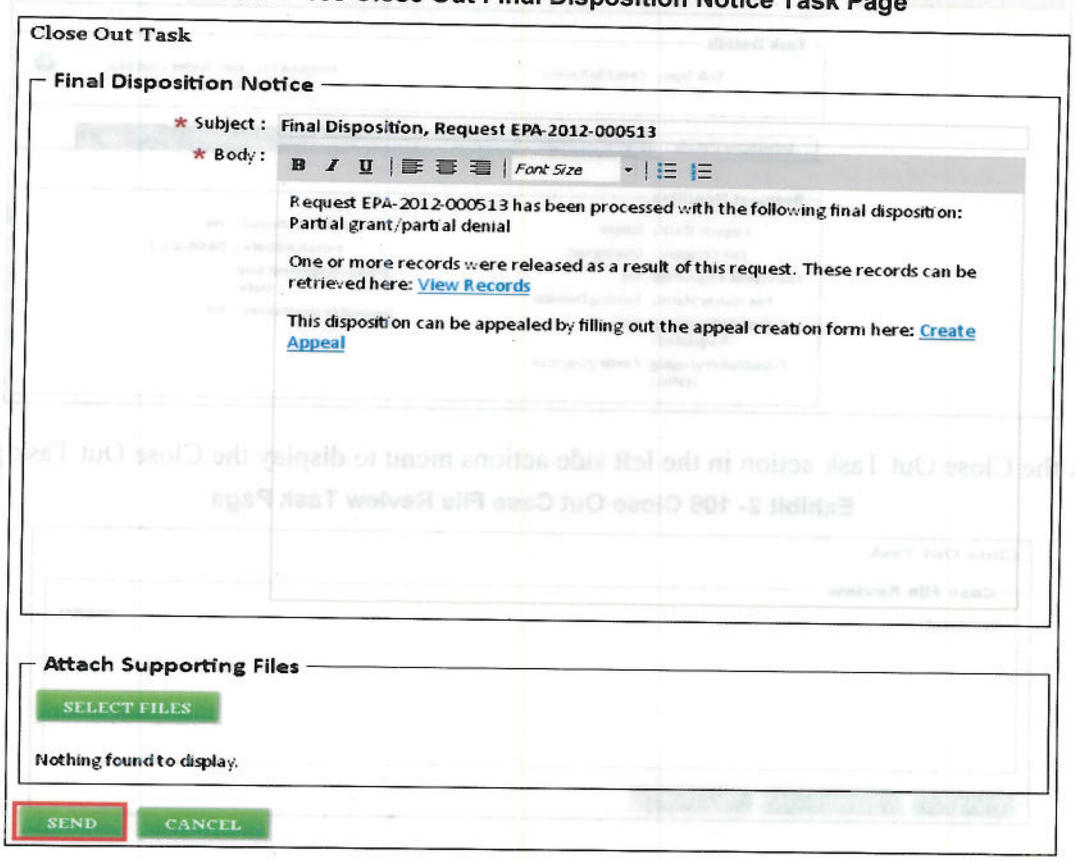
Assigned Reviewers

Review Outcome	Review Order	Assigned Reviewer	Review Date	Action
Accepted	1	Emily Peters	08/10/2012	

Final Disposition Notice Task

Once the review process is complete, if necessary depending on the disposition, the Final Disposition Notice task generates and displays in the assignee's My Cases dashboard. Click on the Tracking Number link to display the Task Details page, and then click on the Close Out Task action from the left side actions menu to display the Close Out Task page, shown in Exhibit 2-108 Close Out Final Disposition Notice Task Page.

Exhibit 2- 108 Close Out Final Disposition Notice Task Page

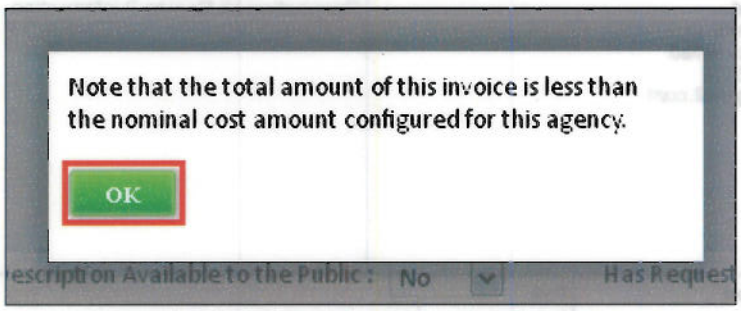


The Subject and Body fields pre-populate but are modifiable. Files can be attached to the email that will be sent to the requester by clicking the Select Files button in the Attach Supporting Files section. Once the Send button is pressed, a popup will display that requires the user to enter the account's password. When the correct password is entered, the request is closed and an email is sent to the requester with the Final Disposition Notice information. If the requester does not have an email address on file, then the Final Disposition Notice is emailed to the agency user assigned to process the request.

2.5.15 Generate Invoice

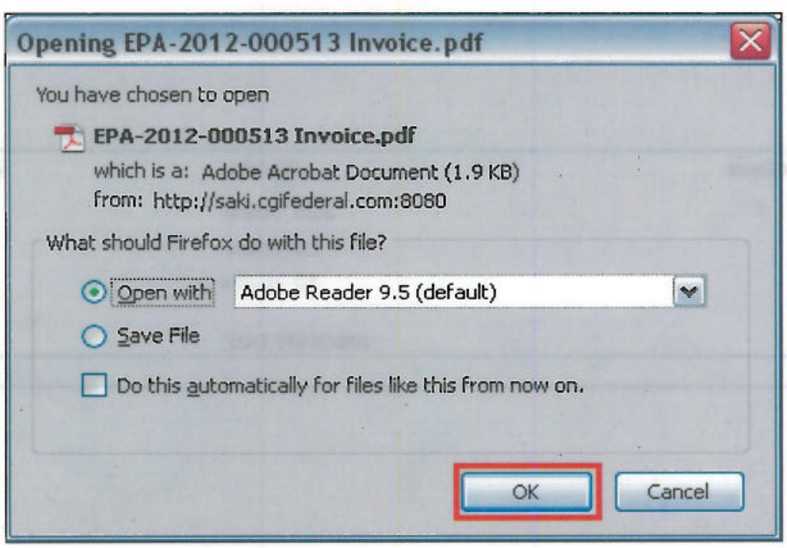
An agency user can generate the invoice of a request at any time by clicking the generate Invoice action from the left side actions menu. If the amount billed in the Admin Cost tab minus any requester discounts received from the Fee Category selected is less than the nominal cost amount configured for the agency, then a notification will display upon generating the invoice, as shown in Exhibit 2-109 Generate Invoice Notification.

Exhibit 2- 109 Generate Invoice Notification



If this notification displays, press the OK button to advance to the popup which prompts the user to open or save the PDF to the hard drive (browser dependent), shown in Exhibit 2-110 Open Invoice.

Exhibit 2- 110 Open Invoice



Press the OK button to view the invoice generated in a PDF format, shown in Exhibit 2-11 FOIA Invoice.

Exhibit 2- 111 FOIA Invoice

FOIA Invoice

Environmental Protection Agency
1200 Pennsylvania Avenue, N.W.
Washington, D.C. 200004

Mail Payment to Cincinnati Finance Center PO Box 979078 St. Louis, AR 63197	**FOIA Tracking Number** EPA-2012-000504 **Invoice Date** 08/10/2012
Requester Contact Information Michael Muffat New York Times 7469 Braddock Road Fairfax, VA 22032 kcannava1@gmail.com	**Description of Records Requested** Requesting all Region 2 information.

Request Received	**Date** 07/31/2012	**By** Environmental Protection Agency
Request Fulfilled by Agency	**Date** 08/10/2012	**By** Thomas Marks

Comments/Instructions

Description of Costs	Quantity	Amount (USD)
Search	3.25 hours	$140.15
Review	1.0 hours	$72.12
Copy	10 pages	$1.10
	AMOUNT DUE	**$213.37**

2.6 Search

Agency users can search for requests, appeals, tasks, consultations, referrals, and records that exist within the user's system. Depending on the user's role privileges, varying levels of information display for each item. Search Results take 2 hours to index, so the Custom Report can be used to quickly find recently created or modified items instead of searching.

There are two ways an agency user can access the Search page from the Home page: by using the Search Bar (see Exhibit 2-112 Search Bar) located on the top right of the Home page or by clicking the Search tab. The Search Bar searches all agencies for requests only.

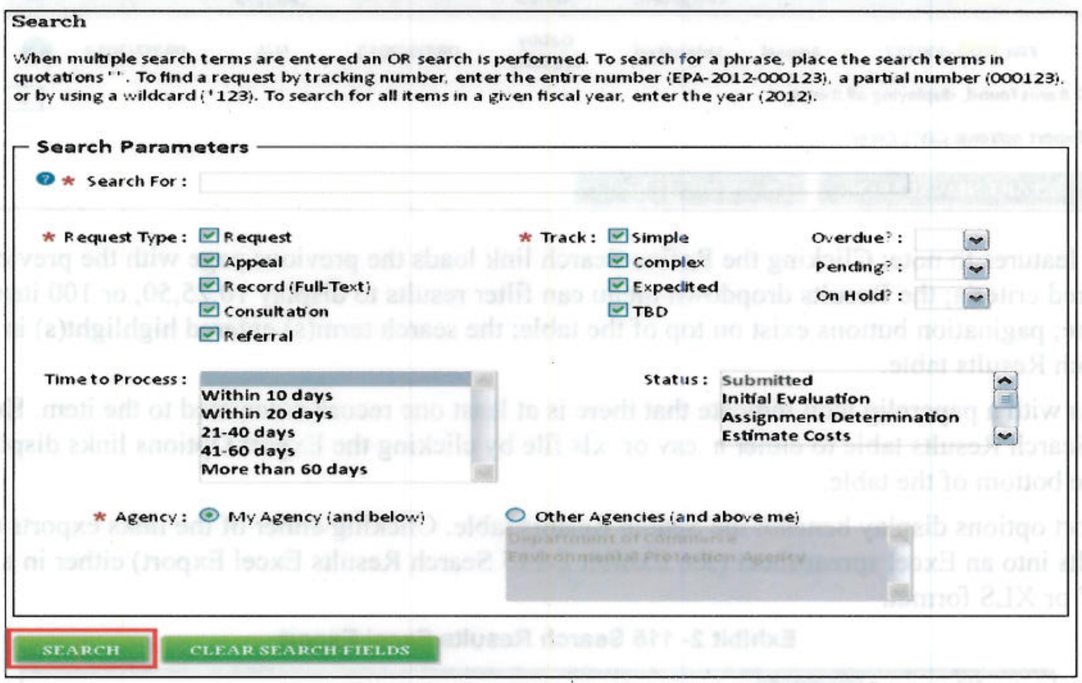
Exhibit 2- 112 Search Bar

Once criteria are entered in the text field, the user can either press the Enter button on the keyboard, or click the magnifying glass icon to begin the search. There are three different pages associated with searching: Search, Search Results, and Search Details.

2.6.1 Search Criteria

The Search Page provides the ability to search both inside and outside of the user's own agency. The Request Type checkboxes default to checked but a user can uncheck certain criteria in order to return more specific results. Exhibit 2-113 Search Page shows the layout of the search page and the fields that are available for the agency users to perform search.

Exhibit 2- 113 Search Page



The Agency field is a multi-select field, so a user can search for multiple agencies by pressing the CTRL button and then clicking the agency names. Top of the Exhibit 2-113 Search Page provides important information regarding the type of search terms to be used.

2.6.2 Search Results

The Search Results page returns results that are visible for the user's role and below. Users with the Professional and SME roles only display search results that are assigned to them. Sort the search results by clicking the column headers. Clicking the Detail column header expands the Description row for all the search results.

Exhibit 2- 114 Search Results

Search Results

You searched for the terms (2012) from (Simple, Complex, Expedited) documents of type (Request, Appeal, Record, Referral, Consultation) from the following agencies: HQ. Refine Search

7 items found, displaying all items. Results 25

1

Tracking Number	Type	Status	Requester	Submitted	Assigned To	Due	Detail
EPA-2012-000502	Request	Research Records	Ron Carpenter	07/27/2012	Katelynn Cannava	08/24/2012	
EPA-2012-000503	Appeal	Closed	Ron Carpenter	07/30/2012	N/A	08/27/2012	
EPA-2012-000512	Record	Evaluation of Records	Nathan Adrien	08/02/2012	Katelynn Cannava	08/30/2012	
EPA-2012-000517	Appeal	Submitted	Laura Cordon	08/02/2012	N/A	08/30/2012	
EPA-2012-000502	Record	Research Records	Ron Carpenter	08/01/2012	Katelynn Cannava	08/24/2012	
EPA-2012-000512	Request	Evaluation of Records	Nathan Adrien	08/01/2012	Katelynn Cannava	08/30/2012	
EPA-2012-000527	Appeal	Submitted	Gabby Franklin	08/09/2012	N/A	09/07/2012	

7 items found, displaying all items.

1

Export options: CSV | Excel

START NEW SEARCH BACK TO SEARCH

Key features to note: Clicking the Refine Search link loads the previous page with the previously entered criteria; the Results dropdown menu can filter results to display 10,25,50, or 100 items at a time; pagination buttons exist on top of the table; the search term(s) entered highlight(s) in the Search Results table.

Items with a paperclip icon indicate that there is at least one record associated to the item. Export the Search Results table to either a .csv or .xls file by clicking the Export Options links displayed at the bottom of the table.

Export options display beneath the Search Results table. Clicking either of the links exports the results into an Excel spreadsheet (see Exhibit 2-115 Search Results Excel Export) either in a CSV or XLS format.

Exhibit 2- 115 Search Results Excel Export

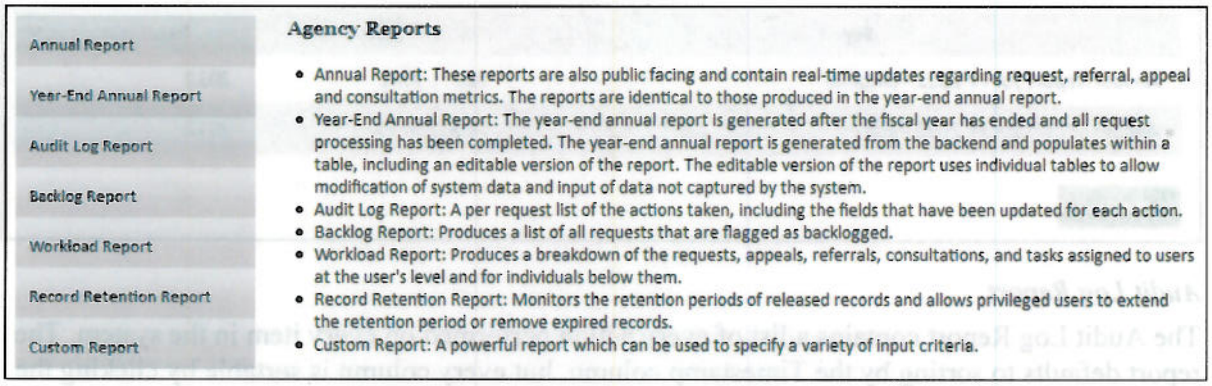
A12

	A	B	C	D	E	F	G
1	Tracking Number	Type	Phase	Requester	Submitted	Due	Description/Basis for Appeal
2	DOC-2012-000501	Request	Processing	Jay Geiger	07/25/2012	08/24/2012	The description of this request is under Agency review
3	DOC-2012-000502	Request	Evaluation	Logan Toms	07/30/2012	N/A	The description of this request is under Agency review
4	DOC-2012-000505	Request	Evaluation	Carol Hammond	08/02/2012	N/A	The description of this request is under Agency review
5	DOC-2012-000506	Request	Evaluation	Vince Lawrence	08/02/2012	N/A	The description of this request is under Agency review
6	DOC-2012-000503	Request	Assignment	Mark Wagner	07/31/2012	08/30/2012	The description of this request is under Agency review
7	DOC-2012-000504	Request	Evaluation	Ryan LeBlanc	08/01/2012	N/A	The description of this request is under Agency review

2.7 Reports

Reports are real-time queries of data contained in the system. Certain reports vary based on the user's role. The following reports are available to all users: Annual Report, Year-End Annual Report, Audit Log Report, Backlog Report, and Custom Report. Users with additional privileges also have access to edit the Year-End Annual Report, view the Workload Report, and the Record Retention Report. Access the reports by clicking on the Reports tab.

Exhibit 2- 116 Reports Page



2.7.1 Report Criteria

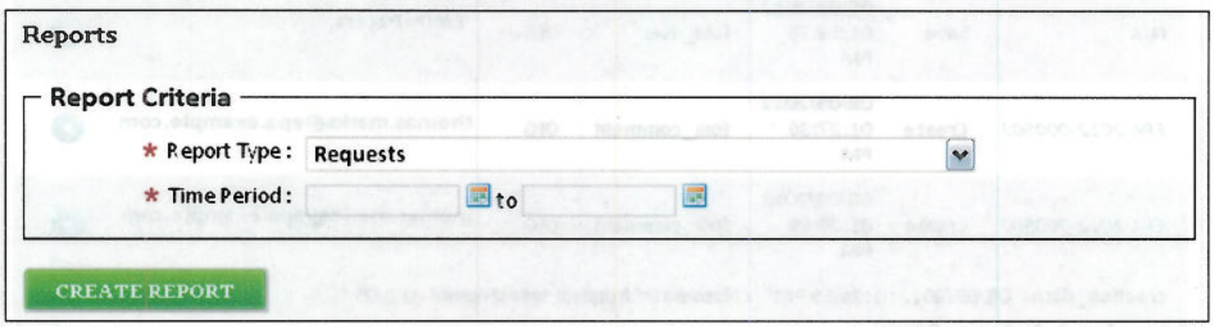
The Annual Report and Custom Report are the only reports that require criteria to be entered. See Exhibit 2-123 Custom Report Page in section 2.7.2 Description of Agency Reports for more information concerning the Custom Report.

2.7.2 Description of Agency Reports

Annual Report

The agency Annual Report which is identical to the Year-End Annual Report allows agency users to generate a report containing real time information on request, referral, appeal and consultation metrics for the desired period of time. Each report is automatically generated with information from the user's agency.

Exhibit 2- 117 Annual Report



Year-End Annual Report

The Year-End Annual Report can be viewed by all agency users, see Exhibit 2-116 Year_End Annual Report. The Fiscal Year column is sortable by clicking the column header. Click the name of the report in the Report column to view the Annual Report for the selected year.

Exhibit 2- 118 Year-End Annual Report

Year-End Annual Report

Report	View	Fiscal Year
Annual Report for FY 2012 - Original	PDF | XML	2012
Annual Report for FY 2012 - Edited	PDF | XML	2012

BACK

Audit Log Report

The Audit Log Report contains a list of every action performed on every item in the system. The report defaults to sorting by the Timestamp column, but every column is sortable by clicking the column header. The Event column contains a summary of what the action was, i.e. "Save" indicates that the request was modified and "Create" indicates that a new item was entered into the system. The Type column indicates what functionality the action affected. Clicking the Detail column expands a row that contains the exact action that was performed.

Exhibit 2- 119 Audit Log Report

Audit Log Report

Results 25

4 items found, displaying all items.

1

Audit Log Report - 08/11/2012 11:55:34

Tracking Number	Event	Timestamp	Type	Agency	User	Detail
N/A	Save	08/11/2012 11:51:18 AM	foia_user	OIG	Emily Peters	
N/A	Save	08/09/2012 01:53:26 PM	foia_user	OIG	Emily Peters	
EPA-2012-000502	Create	08/09/2012 01:27:36 PM	foia_comment	OIG	thomas.marks@epa.example.com	
EPA-2012-000502	Create	08/09/2012 01:26:59 PM	foia_comment	OIG	thomas.marks@epa.example.com	
creation_date='08/09/2012 01:26:59 PM', comments='Request was stopped on 8/05.'						

4 items found, displaying all items.

1

Export options: CSV | Excel

BACK

Backlog Report

The Backlog Report contains a list of all items that are backlogged in the system. Request or appeals are backlogged after 20 days (30 days if unusual circumstances have been specified on a request). The report defaults to sort by the Submitted Date, showing the oldest items first.

Exhibit 2- 120 Backlog Report

Backlog Report

Results 25

9 items found, displaying all items.

Backlog Report - 09/11/2012 12:08:58

Tracking Number	Type	Requester	Submitted	Assigned To	Due	Days Backlogged
DOC-NOAA-2012-000028	Request	Sam Cook	07/10/2012		08/08/2012	20
DOC-NOAA-2012-000076	Request	Vanessa Johns	07/11/2012	Liaison10 Coordinator10	08/08/2012	20
DOC-NOAA-2012-000073	Request	Hannah Sneider	07/11/2012		08/08/2012	20
DOC-NOAA-2012-000078	Request	Jeremy Pritchett	07/11/2012	Coordinator8 Liaison8	08/09/2012	19

Workload Report

As depicted in Exhibit 2- 116 Reports Page, the Workload Report consists of a breakdown of the requests, appeals, referrals, consultations, and tasks assigned to users at the user's level and for individuals below them. The Column headings of the report can be clicked to further sort out the report, see Exhibit 2-121 Workload Report. This report can be useful in viewing the pending assignments to individuals.

Exhibit 2- 121 Workload Report

Workload Report

Results 25

38 items found, displaying 1 to 25.

Workload Report - 09/11/2012 12:04:22

Tracking Number	Type	Track	Submitted	Assigned To	Due
DOC-NOAA-2012-000150	Request	Simple	08/17/2012	Professional6 Professional6	09/17/2012
DOC-NOAA-2012-000145	Request	Simple	07/24/2012	Professional6 Coordinator6	09/07/2012
DOC-NOAA-2012-000145	Task	Simple	07/26/2012	Professional9 Reviewer9	08/23/2012
DOC-2012-000124	Task	Simple	07/25/2012	Coordinator8 Professional8	08/22/2012
DOC-NOAA-2012-000145	Task	Simple	08/14/2012	Professional6 Coordinator6	08/17/2012

Record Retention Report

Record Retention Report portrays/monitors the retention periods of released records and allows privileged users to extend the retention period or remove expired records.

Exhibit 2- 122 Record Retention Report

Record Retention Report

Results 25

34 items found, displaying 1 to 25.

1 2

Record Retention Report - 09/11/2012 12:15:38

	Tracking Number	Record Title	Retention	Retention Start Date	Retention End Date	Expired?
	DOC-2012-000018	test	6 year	09/10/2012	09/10/2018	No
	DOC-NOAA-2012-000145	kindermorgan-fa...	2 year	09/07/2012	09/07/2014	No
	DOC-2012-000169	20120710 Interi...	2 year	08/30/2012	08/30/2014	No
	DOC-2012-000169	USWarVessels	2 year	08/30/2012	08/30/2014	No
	DOC-2012-000169	OIGReport	2 year	08/30/2012	08/30/2014	No

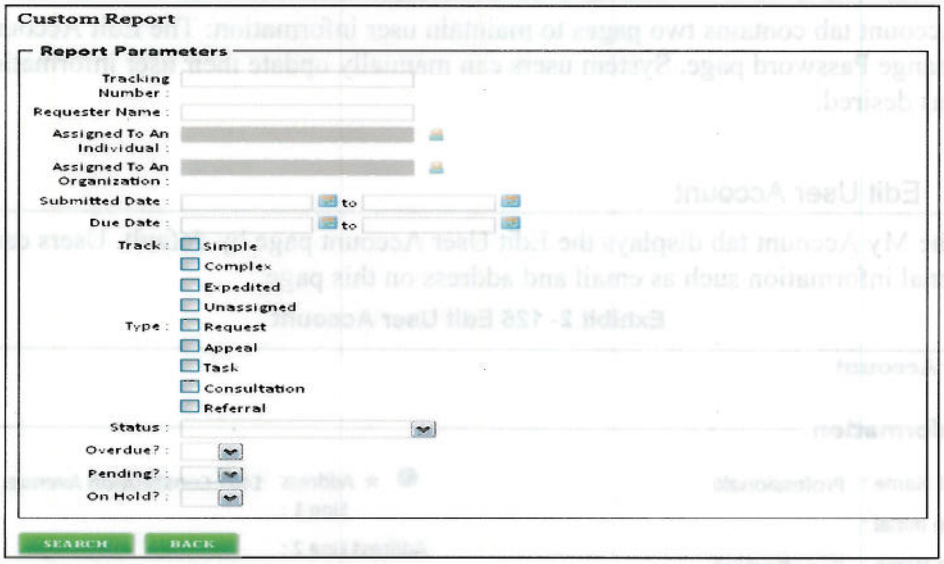
Custom Report

The Custom Report is more of a search than a report. The Custom Report page requires only one field to have criteria entered before pressing the Search button. The Custom Report can be as general or specific as the user desires by filling out such fields as Assigned to an Individual, Submitted Date, Track, Type, Status, etc. as shown in Exhibit 2-123 Custom Report Page. Quickly search for all items submitted in the year by entering "2012" in the Tracking Number field and press the Search button. Quickly find a request by entering the last 3 identifying numbers of the tracking number, i.e., "012" to find a specific item.

Search for all items assigned to an individual or organization by clicking the person icon located to the right of each of the respective fields.

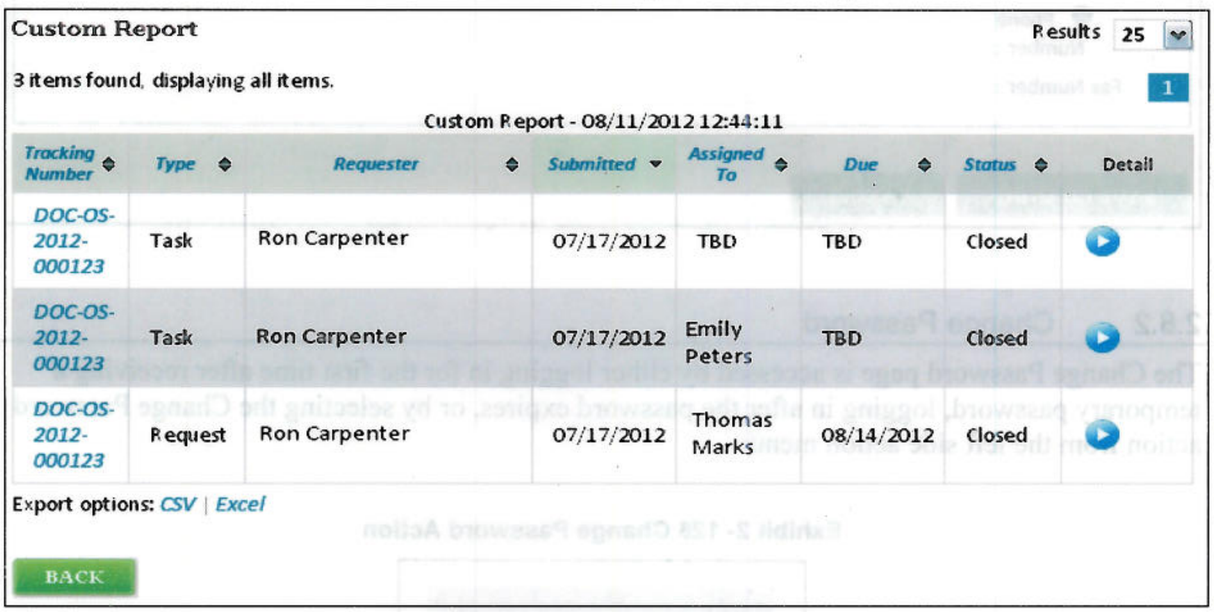
Search by dates by clicking the calendar icons located next to the Submitted and/or Due Date fields.

Exhibit 2- 123 Custom Report Page



Press the Search button to display the Custom Report Results page, as shown in Exhibit 2-124 Custom Report Results Page. In this example, "123" was searched for in the Tracking Number field to return the request, along with any associated tasks.

Exhibit 2- 124 Custom Report Results Page


Custom Report

Results 25

3 items found, displaying all items.

1

Custom Report - 08/11/2012 12:44:11

Tracking Number	Type	Requester	Submitted	Assigned To	Due	Status	Detail
DOC-OS-2012-000123	Task	Ron Carpenter	07/17/2012	TBD	TBD	Closed	
DOC-OS-2012-000123	Task	Ron Carpenter	07/17/2012	Emily Peters	TBD	Closed	
DOC-OS-2012-000123	Request	Ron Carpenter	07/17/2012	Thomas Marks	08/14/2012	Closed	

Export options: CSV | Excel

BACK

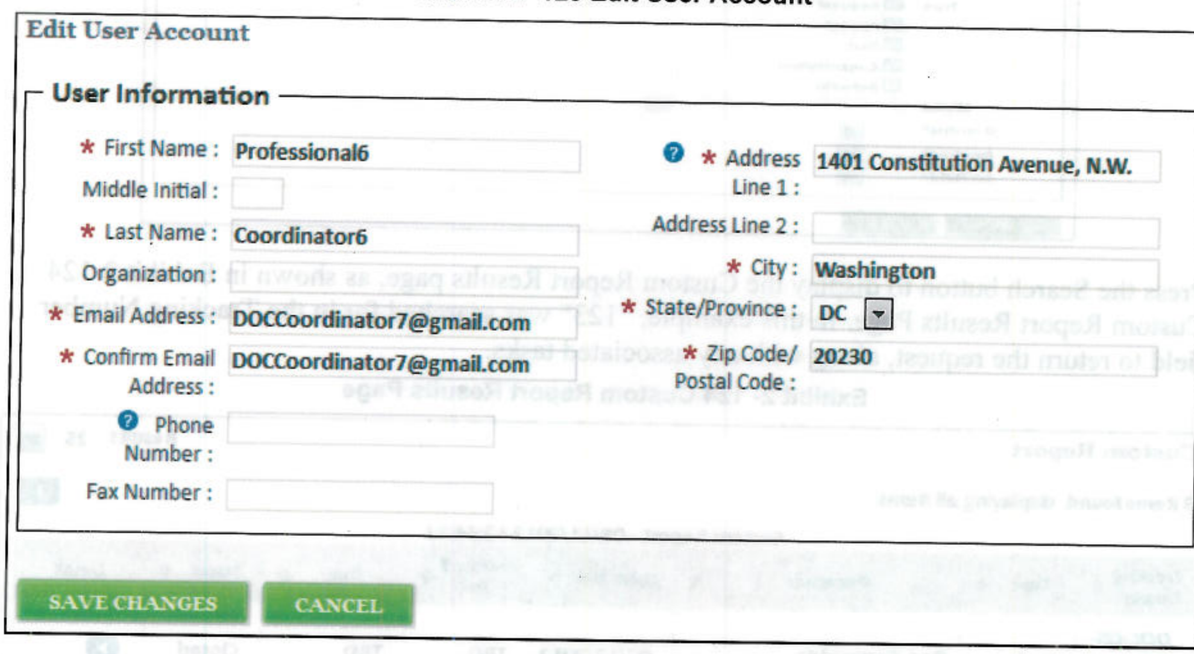
2.8 My Account

The My Account tab contains two pages to maintain user information: The Edit Account page and the Change Password page. System users can manually update their user information and password as desired.

2.8.1 Edit User Account

Clicking the My Account tab displays the Edit User Account page by default. Users can edit their personal information such as email and address on this page.

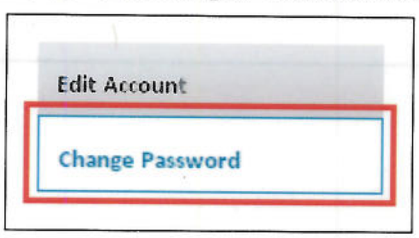
Exhibit 2- 125 Edit User Account



2.8.2 Change Password

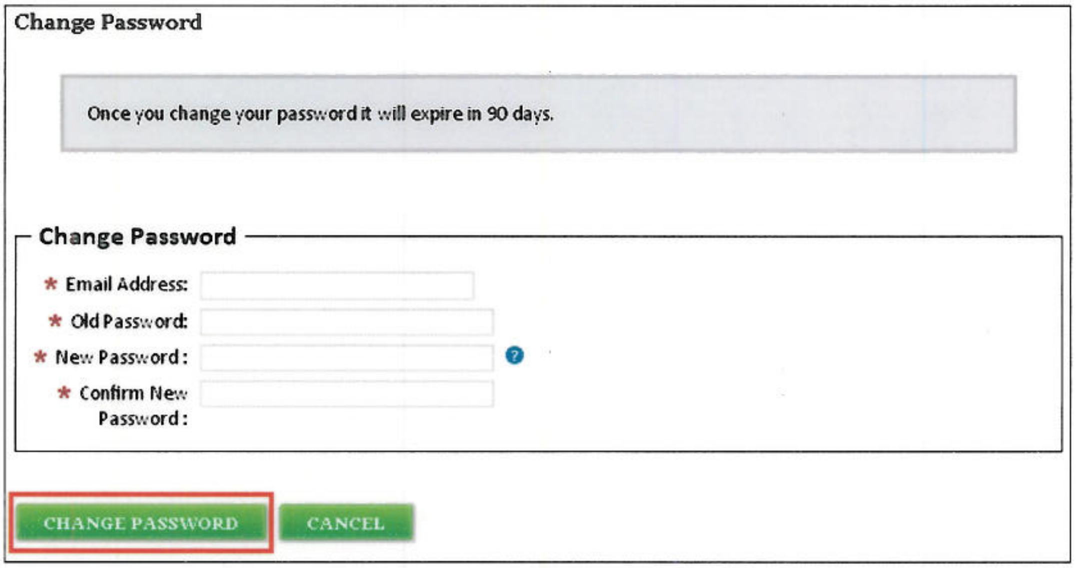
The Change Password page is accessed by either logging in for the first time after receiving a temporary password, logging in after the password expires, or by selecting the Change Password action from the left side action menu:

Exhibit 2- 126 Change Password Action



The Change Password page (see Exhibit 2-127 Change Password Page) requires the email address, old password, and the new password (twice for validation). Pressing the Change Password button sets the new password and restarts the 90 day expiration clock.

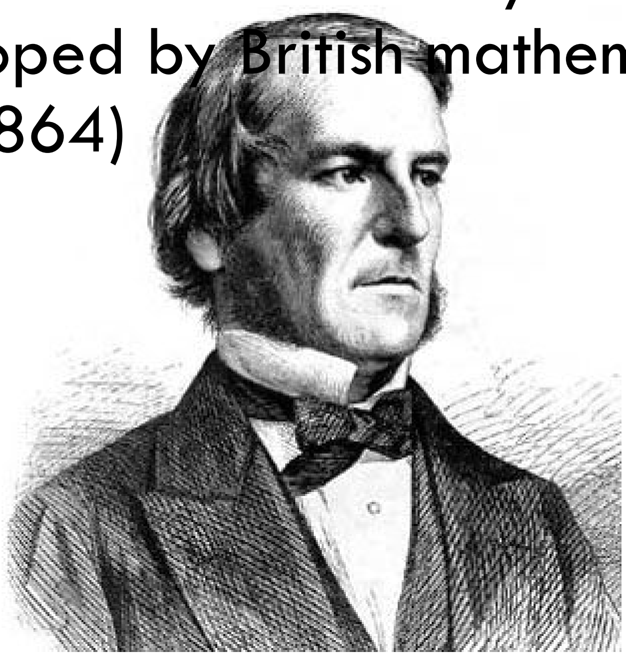
Exhibit 2- 127 Change Password Page



A BEGINNER'S GUIDE TO BOOLEAN SEARCH OPERATORS

Agenda

- Boolean algebra is based on a system of symbolic algebra developed by British mathematician George Boole (1815-1864)

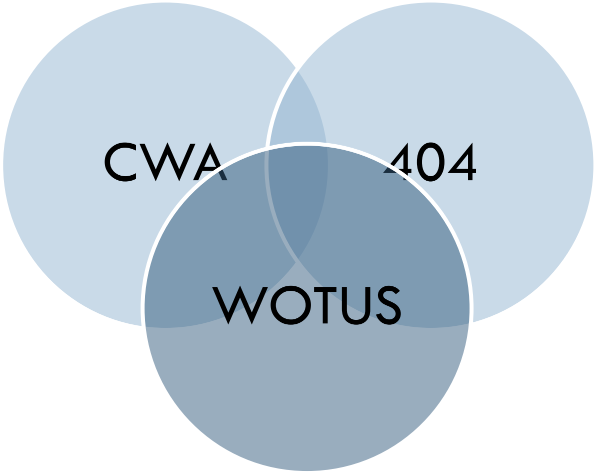


- Boolean searches allow you to combine words and phrases using words and symbols (known as Boolean operators) to limit, broaden, or define your search.

What is Boolean Search?

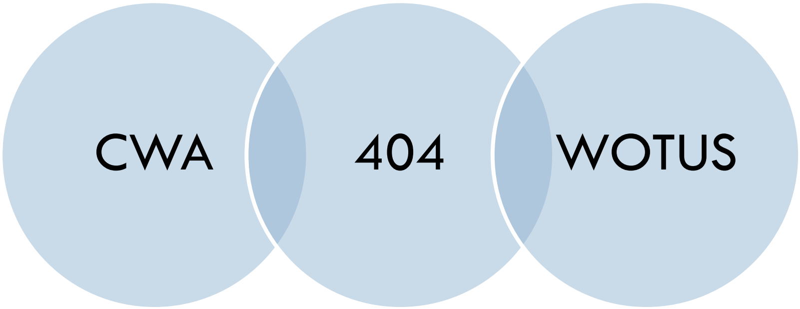
- **Purpose: A way to organize your search using a combination of keywords and 5 Boolean operators**
- **To produce more accurate and relevant results for document searches**
- **5 elements:**
  - AND
  - OR
  - NOT
  - ()
  - “ “

AND



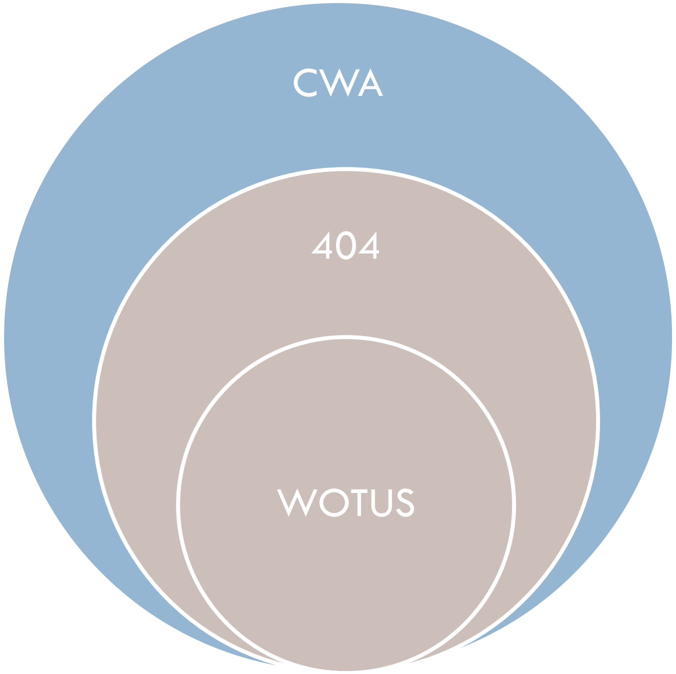
- By using AND the search is narrowed—search would return only documents containing **all** three items.

OR



- By using OR, we are broadening/expanding our search. The result would be a broader, more inclusive search. Results would include any of the words.

NOT



- Removes false positives. If well designed, can narrow down the set. However, can also result in errors and should be used cautiously!

Parentheses

- CWA OR 404 OR WOTUS.
  - This will retrieve any document with any of these words
- (CWA OR 404) AND WOTUS
  - This will retrieve documents with either CWA AND WOTUS or 404 AND WOTUS
- CWA OR (404 AND WOTUS)
  - This will retrieve documents with either CWA OR <u>both</u> 404 and WOTUS
- Brackets are most commonly used with OR strings to narrow the search

Quotations

- If a group of letters or words is to be a single "keyword," needs to be within quotations.

- 2, 4-D versus "2, 4-D"
  - 2, 4-D may potentially bring back any document with 2, or 4, or D anywhere in the document
  - "2, 4-D" within quotations indicates that the exact term is a keyword
  - Other examples "clean power plan" instead of clean or power or plan,

EPA Fee Waiver Process

The public may request in writing to have fees waived if the disclosure of the information requested is in the public interest because 1) it is likely to contribute significantly to public understanding of the operations and activities of the government and 2) it is not primarily in the commercial interest of the requester. The requester's inability to pay is not a legal basis for granting a fee waiver.

EPA regulations require that the fee waiver request be made at the time the FOIA request is submitted.

EPA Fee Waiver Process

FOIA Exemptions

There are nine FOIA exemptions:

1. Classified national defense and foreign relations information.
2. Internal agency rules and practices.
3. Information that is prohibited from disclosure by another federal law.
4. Trade secrets and other confidential business information.
5. Inter-agency or intra-agency communications that are protected by legal privileges.
6. Information involving matters of personal privacy (protected under the Privacy Act or containing sensitive personally identifiable information).
7. Information compiled for law enforcement purposes, to the extent that the production of those records:
   a. Could reasonably be expected to interfere with enforcement proceedings.
   b. Would deprive a person of a right to a fair trial or an impartial adjudication.
   c. Could reasonably be expected to constitute an unwarranted invasion of personal privacy.
   d. Could reasonably be expected to disclose the identity of a confidential source.
   e. Would disclose techniques and procedures for law enforcement, investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions..
   f. Could reasonably be expected to endanger the life or physical safety of any individual.
8. Information relating to the supervision of financial institutions.
9. Geological information on wells.

The FOIA applies only to the Federal Executive Branch. It does not apply to records held by Congress, the courts, or by state, local, or tribal government agencies. The FOIA has undergone several amendments since its passage, including the e-FOIA amendments of 1996 and the Open Government Act of 2007. The e-FOIA amendments clarified how electronic records should be handled under the FOIA and extended the statutory time to respond from ten working days to twenty working days. The Open Government Act of 2007 made changes to promote a more open and accountable government and established an agency Chief FOIA Officer and Public Liaison Officers to assist in reducing delays, increasing transparency and resolving disputes.